

DRISHTI I N S I G H T

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ABOUT ARTDO INTERNATIONAL

ARTDO International is a non-political, non-stock, non-profit organisation, designed to encourage, support and finance activities dedicated to the pursuit of the following objectives:

- (a) To achieve better utilization of human resources throughout the Asia region in particular and the world in general, by promoting work efficiencies, training and development as the basic function and responsibilities of management.
- (b) To stimulate growth of effective professional bodies: existing national training and development organizations in particular and management institutions in general.
- (c) To help establish national learning and development organizations in countries where these do not exist.
- (d) To coordinate and cooperate with international organizations, private foundations and voluntary agencies, and other stakeholders working in the field of Human Resource Development.
- (e) To foster closer relations among training and development organizations in Asian region in particular and the world in general.
- (f) To serve as a resource centre for training and development information in the Asian region in particular and the world in general.
- (g) To encourage, coordinate and/or sponsor research and publication of materials designed to meet the training and development needs unique Asian region in particular and the world at large.

In order to realize the aforesaid objectives, **ARTDO International**, without restricting its general powers may, among others, use the following means:

- (a) Organization of periodic international or inter-regional conferences.
- (b) Publication of research papers, other publications and a Journal promoting the development of human resource and management.
- (c) Distribution and exchange of documents.
- (d) Establishment of continuing committees for research and documentation on special problems related to Human Resource Development and other services.
- (e) Establishment of training seminars, courses and institutes, on particular subjects.
- (f) Organization of professional training centers.
- (g) Exchange of trainers, students and experts in Human Resource Development and Management.



From the Editor's Desk

The 2016 Annual World Conference of ARTDO International is in Manila. This is the 43rd time the World Conference is convening. The occasion is a joyous one for several reasons. This includes the fact that Manila is the city of birth of what-used-to-be the Asian Regional Training and Development Organization. Twenty five years later it was to metamorphose, in the Delhi session of its World Conference, to ARTDO International. On coming of age the regional association had become a global platform!

The history has had its crests and troughs. But it is the spirit of management and human resources that has kept it going. Accordingly when the theme of engaging, enriching and enabling global leaders was identified for the 43rd World Conference, there has been a natural expectation of this particular Conference serving as a landmark.

This particular number carries 5 significant contributions from 5 major regions of the world. The contributors have a track record of worthwhile contributions to the profession. This number is sponsored by ITD World which has over the years emerged as a force in the global framework of Institutional HRD leaders. The fact that ITD World is hosting the 43rd World Conference of ARTDO International is a testimony of the kind of confidence it evokes in the profession and the kind of support it is capable of providing to collective moments in thought leadership. It is a matter of satisfaction that there are institutions, while pursuing their mission, also find it possible to anchor such activities.

The current President of the Association and this session is Serley Geraldine D. Alcaraz, Country head ITD Consulting Group Inc., Manila. She is quite a human dynamo of energy with a very wise head on a very young shoulders. I have seen her in similar positions earlier on and I am happy to testify to her outstanding organizational and thought leadership.

Drishti, as a publication, over a last decade and more, has served as a forum of benchmarking management and HRD thoughts. This is now globally recognized. This particular number is a publication of ARTDO International which is brought to you in association with DK International Foundation, India.

To reach this stage the support of Dato Dr. Thomas Chee Khay Huat, President Emeritus, ARTDO International easily comes to mind. He is a great pillar of strength to the organisation. Due acknowledgment is, also, essential to Mr. Bernei Ople, Secretary General ARTDO International and the members of the Editorial board. Datin Eleen has like always been somewhere in the background working assiduously to move things forward.

My thanks to the Secretary General and Executive Director of DK International Foundation Dipti Sharma Tripathi and Shobhana, respectively for putting on different hats at different times to keep pushing of the publication, in many ways big and small.



Mr. Nitin Mittal of Concept Publishing Company Private Limited has done what he has always done, in ensuring that the publication is handled professionally and diligently. Our appreciation for this.

My personal appreciation, also, to all who have contributed to this effort, especially, as this is a voluntary enterprise surviving on the goodwill of all who seek to contribute.

I hope you will enjoy going through this effort and keep us apprised of your reaction.

New Delhi
October 25, 2016

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Action Planning through Force Field Analysis

Penny Hood and Lyndon Jones

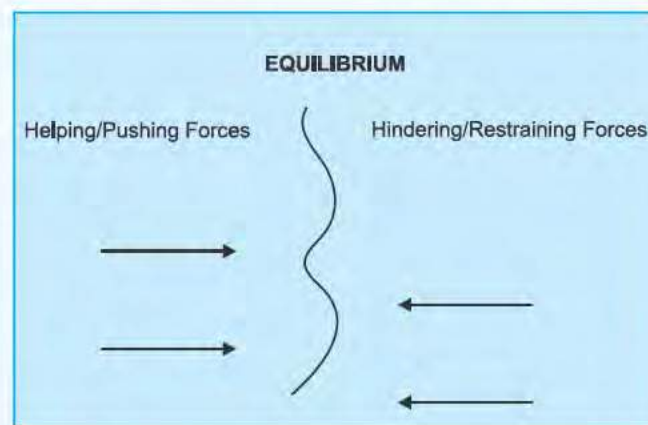
FORCE FIELD ANALYSIS THEORY

An individual group or organisation can often feel blocked, i.e. prevented from effective action by apparently immovable forces which are obstructing the way forward towards a desired goal. When such a situation arises, planned change may be possible through the use of force field analysis (FFA).

This technique was borrowed from the physical sciences by the late Kurt Lewin (1890-1947)—which no doubt accounts for its ready acceptance by engineers, physicists and the like. According to Lewin, the assumed blockage is not so much a static, immovable object but rather a dynamic tension which has arisen between the of counteracting forces, some of which (the helping forces) assist progress whilst others (the hindering forces) oppose it. These forces are, at any point in time, exactly equal and opposite to each other, producing the apparently static state, and the consequent blocked feeling. Lewin termed the result of this dynamic balance of forces the “quasi-stationary equilibrium”. Accordingly, the body will only move when the sum is not zero, and

will move in the direction determined by the stronger force.

This situation may be depicted simply as follows:



Witness the case of salespersons and their earnings. Their monthly salaries may be £x.-Factors, or forces, in their lives are such that they want increased earnings; they may wish to rent more durable consumer goods, take the family on an overseas vacation, help their aged parents, and the like. They have the skills to earn the extra money—they could work a longer day and increase their bonuses by making more calls, or they could ‘moonlight’ at weekends and do a second job. On the other hand, there are forces acting against this. For example, the need to spend time with the family; the desire to play golf or tennis at weekends and so on.

STEPS IN DIAGNOSIS

To remove the feeling of being blocked, and thereby to assist further progress towards the desired goal, one may undertake a searching diagnosis of the *status quo*, specifying as many as possible of the forces involved. In applying the principle to the diagnosis of any personal or organisational problem, four main steps are involved, namely:

- Select the problem and write it down; it must be a real one which concerns one right now.
- Define the problem in specific terms:
 - What is the magnitude of the problem?



- How frequently does the problem arise?
- Who is involved?
- Who else is indirectly involved?
- What other factors are relevant?
- Specify in precise terms the goals or desired *status quo* — i.e. a definition of the situation which would ideally exist when the problem is no longer present. Preferably, this should be in the form of a quantitative improvement, although a qualitative change of state may be appropriate.

In this way, the exact size or nature of the **gap** between the actual and desired situations has been defined.

- Identify as many of the forces acting on the present situation as possible, preferably putting them in the form of an arrow chart. First, list the helping forces, driving towards reducing the size of the gap, and then the hindering forces tending towards widening it. At this stage it is important to consider only forces **already at work** in the situation and not those which are merely possible, likely or hoped for; in short, **no solutions at this stage**.

SOME PRACTICAL TIPS

In diagnosing the problem situation, try to be as specific as possible in the way you write down each force. For example, do not write 'poor communication', instead write: 'John

and Joe do not tell each other their reasons for using different instructional materials'.

Practical success is more likely when the forces are written in such a way that impartial persons reading them would know to whom to go and what to ask in order to get a fuller understanding of what is involved in that force.

Give preference to discrete forces rather than global ones. A complex force can often be analysed into a number of simpler ones. Sometimes ideas for analysing a force into more discrete sub-parts can be thought up by considering the factors for and against changing the force being considered.

Think about categories and levels of forces in order to generate a more complete set. The forces involved may include both helping and hindering forces from each of the following categories:



Questions which it may be useful to ask during the analysis are:

- (i) Do we have a general statement of the desired

condition and the gap involved in moving from one state to another?

- (ii) Are we focusing on all of the important variables?
- (iii) Do we have reasonably accurate information in terms of relative strength of the various forces?
- (iv) How can we get additional data?
- (v) How do these forces inter-relate?

In the search for these forces it may be helpful to have a checklist (*see* Table 1) in order to include forces operating at many different levels which might otherwise be overlooked.

A Further Categorisation

In practice, when deciding which forces to strengthen and which to weaken, it is important to consider the amount of leverage or influence which "I" (the problem owner) has in attempting to change the situation. For this reason it is often useful to re-group the forces in another way:

ME forces—The category in which the problem owner has a high degree of influence over the situation, i.e. the factors (attitudes, knowledge or behaviour) which are entirely personal to them and over which they have full control.

THEM forces—Ones in which other people (a boss, or several subordinates) are directly involved, and where the "I" of the situation may



be able to exercise a certain amount of influence through their relationship with them.

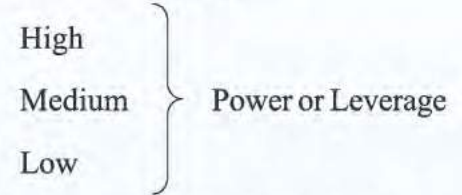
IT forces—Ones which are system related and where individual human intervention stands very little chance of success because the scale of things is far too large for a single person to

make any impact.

It is obvious that the former (the ME and THEM categories) are the ones to work on first if there is to be success.

This method of sub-division has been used in Examples 1 and 2 appended.

Finally, when all the forces are listed, rank them as being of:



The forces may then be shown diagrammatically, with the length of the arrows indicating the magnitude of the force. For example, Figure A illustrates how a manager's desire to improve the level of quality may be shown. Figure B, on the other hand, provides an example of a different type of problem which many may face.

Strategies for Unblocking

Until the diagnostic stage has been completed, it is premature to consider what action to take, but once this has been done, the next stage is to consider the possible strategies available for change.

One of the most important and satisfying aspects of Force Field Analysis is that it is neither possible nor necessary to tackle all the forces at once. By definition, the situation is exactly poised between the two armies of helping and hindering forces and, as in any military battle, a strengthening or weakening of the pressure at any particular point in the line can break the deadlock and facilitate movement until a new equilibrium is reached elsewhere. Thus, the selection for attention and treatment of any single force, provided it is amenable to change, is

Table 1

"ME" (Personal)	"THEM" (Relationships)	"IT" (Systems)
Attitudes	Self and boss	Political
Feelings	Self and colleague(s)	Social
Desires	Self and subordinate(s)	Economic
Ambitions	Self and spouse	Technical
Limitations	Self and friends	Mechanical
Values		Legal
Fears		Administrative
	Self and others	Operational
	Self and group or team	
Background		Organisational
Experience	Self and section or department	Governmental
		Atmospheric
Education	Others within team or group	Ecological
Relationships	Teams within sections	Local
Habits	Departments within organisation	National
Income	Organisation and customers	International
Expenditure	Organisation and competitors	Universal
Health	Organisation and other organisations	etc.
Use of time	Organisation and government	
Strengths	Organisation and unions	
Weaknesses	Inter-union	
Inclinations	etc.	
Relationships		
etc.		

- N.B.**
- (1) When making a diagnosis one should consider and include only those forces which are *already at work*. Do not include possible, likely or desired events in the near future and do not, at this stage, offer solutions.
 - (2) When labelling forces on the Force Field Analysis, do not merely use the checklist titles above, but turn them into descriptions of the actual situation faced. For example, instead of 'Economic' one might write 'I am short of cash', or 'my business is weathering the effects of the recession'.

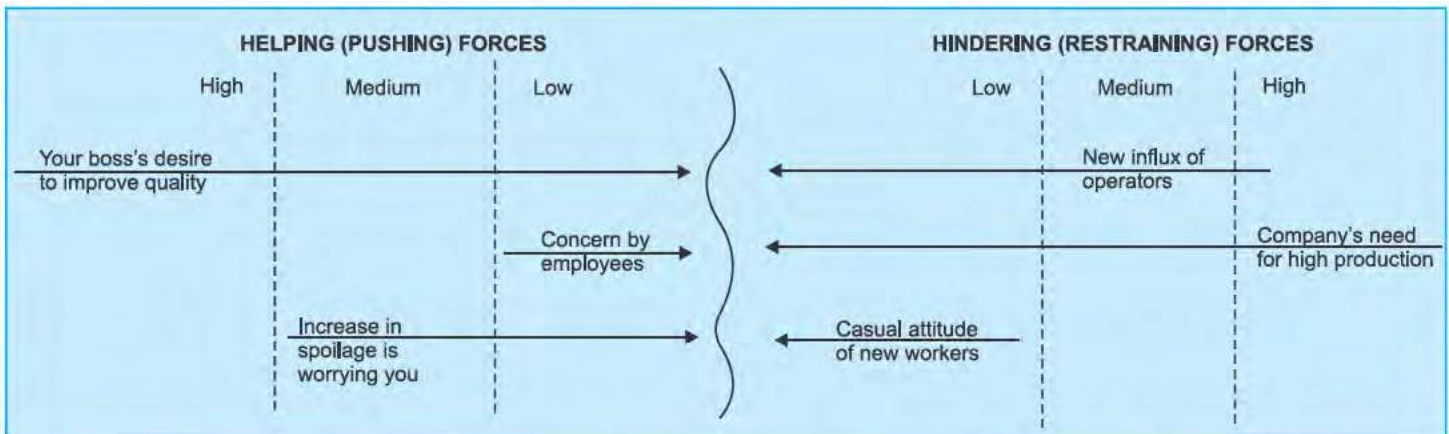


Figure A: Part of a Force Field Analysis: A Quality Improvement Problem

Another example is given in Figure B.

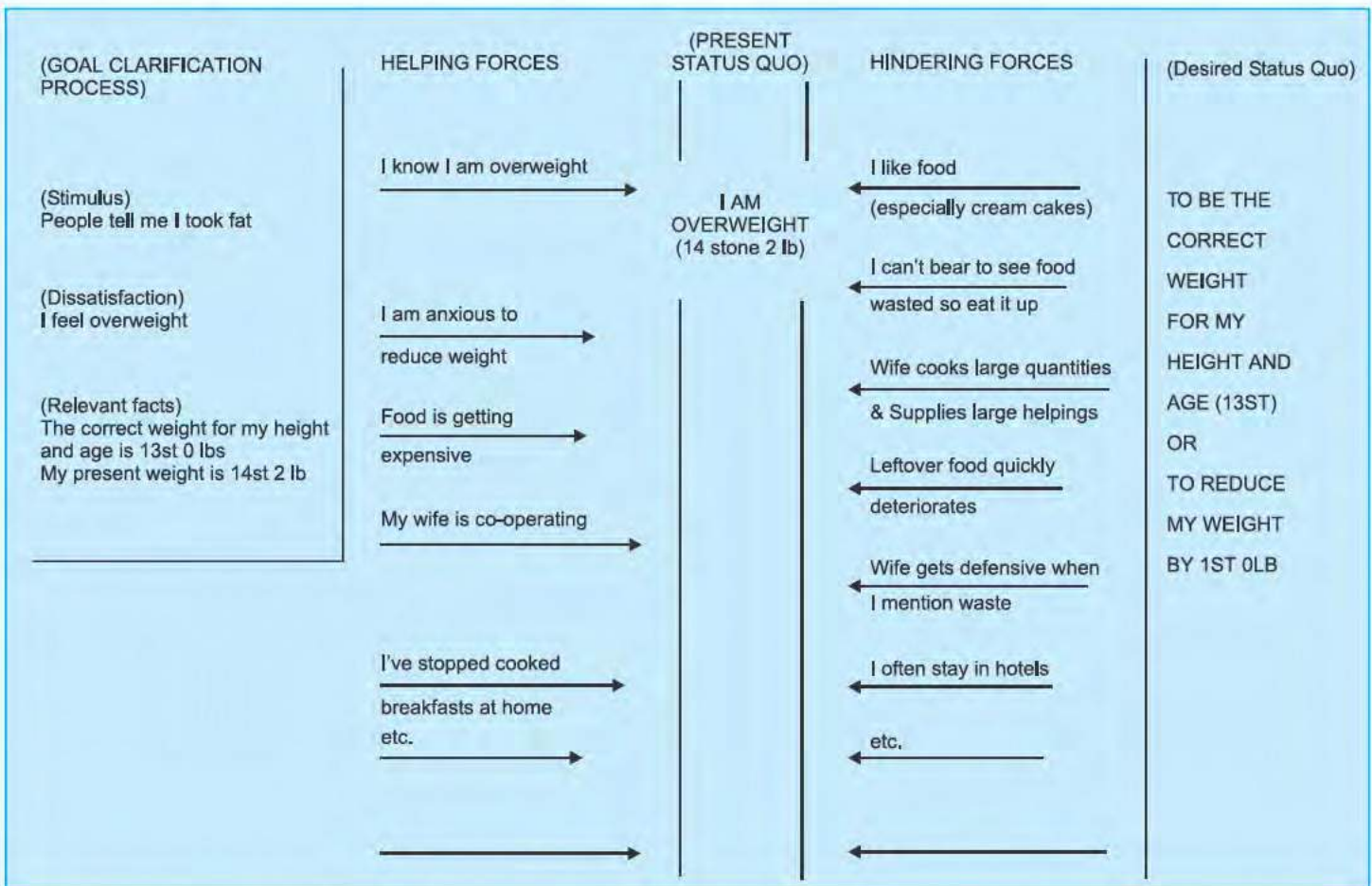


Figure B: Force Field Analysis: Initial Problem Statement: I'M TOO FAT



sufficient to facilitate movement in the desired direction.

The most obvious thing to do, at first sight, is to increase the thrust of one of the helping forces, but this often has the undesirable effect of generating increased opposition and of increasing, rather than reducing, the total amount of tension present in the situation. A better alternative, therefore, might be to reduce or eliminate some of the hindering forces so that tension is reduced and forward movement is achieved naturally without committing any additional resources to the battle. Since, these opposing forces frequently involve somebody else's negative attitude towards your problem, empathy can often help to reduce the strength of their opposition. It may sometimes be more appropriate to do both, simultaneously or in series, so that a weakening of the opposition is capitalised on by a strengthened forward thrust to achieve the desired goal more quickly.

Individual Action Planning

Once the basic strategy is determined, we can then take a step by step approach to implement a planned series of activities for strengthening or weakening the particular force selected, as the case may be.

One very simple sequence is as follows:

- (i) Re-express the selected force

in the form of an objective and an intention, e.g. if one of the forces which is hindering me from cutting down my smoking is "social pressures" (probably in the "THEM" category), I could set myself an objective as follows: "I intend to work towards smoking only when I want to smoke, and not just to be sociable when someone offers me a cigarette".

- (ii) Decide when the first step will be taken, e.g. "The next time somebody offers me one I shall refuse, and explain that I am doing it for the experience of saying NO".
- (iii) Decide when the first step will be taken. (N.B. in the example above "when" is implied by the statement "the next time", but in general it could be expressed as "first thing tomorrow", "next Monday morning" or "on pay-day", etc.
- (iv) Decide a criterion for determining whether or not the first step has been successful, and therefore whether or not to proceed to further steps.
- (v) Set a date for the achievement of the stated objective.
- (vi) Plan a timed series of intermediate moves for getting from the first step to the final goal, including

appropriate evaluation criteria for each step.

There are many more sophisticated sequences available for those who want to attempt "block-busting" on a grander scale—particularly those interested in attempting systems change (the "IT" forces), but it is wise not to attempt too much in one go. Thus, the above sequence is recommended for those who are beginners in the process of removing blocks to progress. It is the attitude of determination plus the discipline of using carefully timed and evaluated small steps which really make the difference between success and failure in individual action planning.

Using Other People's Resources— Reciprocal Counselling

Individual action planning need not be a lonely process—in fact, it stands a much better chance of success if two or more people attempt it simultaneously on their different individual problems; what Americans call the "buddy" system, or what might be termed "reciprocal counselling".

This is particularly suitable when people have met and got to know one another on a training course and are about to go back to their respective homes or places of work to try to implement some change in their lives brought about by something they have learnt during the course.

It helps to have a "buddy" available



at two or three key stages in the above diagnostic and planning process:

- (i) First, after an initial period of thinking about what the basic problem is, and how what one has learnt on the course might be relevant to it, a period of sharing with another person or a small group often brings added clarity, enabling each to help the other re-define their problem in terms of the present *status quo* and the desired goal. The goal clarification approach outlined in Figure B may prove helpful here.
- (ii) Secondly, once individuals have “brainstormed” as many different forces as they can think of which are operating on the problem situation, describing these to another person or persons can very often bring about the feeling of “a problem shared is a problem halved”, and frequently also results in the discovery of additional forces acting on the situation which might have been overlooked. It is often useful to stay together whilst sorting the forces into “ME”, “THEM” and “IT”, and whilst formulating the Action Plan.

- (iii) Finally, when the Action Plan itself has been provisionally formulated, “buddies” have a distinct role to play in debugging or challenging the details of the other person’s plan in order to ensure that the time intervals are realistic and that the person concerned is committed to taking the specified steps. This can often be done successfully by the buddy assuming the role of “devil’s advocate” or else by them role-playing the part and giving the response of one or more key figures in the other person’s scenario.

Back to Earth

Usually, the most appropriate time for action planning as described above occurs during the final day of a training programme when people are preparing to re-enter their normal environment. It is a useful discipline both for the trainers and participants to ensure that the course does not end until each of the latter has thought through in some detail how they are proposing to tackle their personal re-entry situations.

Sufficient time should be allowed for participants not only to assimilate the theory behind such an approach, but also to build their commitment to it, both individually and as members of

the group. For this reason the action plan is unlikely to succeed unless a minimum of two hours is devoted to the activity, and in certain cases it could very be extended to cover the whole of the final day.

If the trainer has the time and opportunity to follow up the progress of individual re-entry plans after the end of the course, a very significant step has been taken in the direction of post-course evaluation of the tangible results of the training activity. Since this is seldom possible because of other demands, a useful alternative is to extend the working of the “buddy” system beyond the end of the course, encouraging departing participants to build into their action plans a contract to contact their “buddies” at prescribed intervals for the purpose of reporting progress on their own plans and checking the progress of their “buddies”.

To Sum Up-Try It!

Although the procedure outlined in this booklet may at first seem daunting, experience in a wide range of practical situations has demonstrated that it works, and the reader is urged to try it. A summary of the full set of steps involved in carrying out the whole sequence of problem solving is given in Table 2 below.



Table 2: Force Field Analysis and Strategy Selection - Summary

A. Steps in the Process of Social Change

1. Unfreezing of forces in the present equilibrium of forces.
2. Providing for a movement towards the change goal.
3. Refreezing the forces or establishing a new state of equilibrium.

B. An Analysis of Problem Elements—What are the Differences Among Forces?

1. Which forces are the strongest? Weakest?
2. Which forces can be altered? Which cannot either
 - (a) because of the nature of the force, or
 - (b) because of your position?
3. Which forces, if altered, would create counter-forces?
4. Which forces can be altered quickly? Which only slowly?
5. Which forces, if altered, would produce rapid change? Which slow change?
6. Do you have the necessary skills and information to alter forces? If not, can you get them?

C. General Strategy for Effecting a Change in a Field of Forces

Forces can be modified by:

1. Reducing or removing forces.
2. Strengthening or adding new forces.
3. Changing the direction of the forces.

D. A Recommended Sequence of Steps in Selecting Forces to be Modified and Determining a Change Strategy:

1. What force(s), if any, must be dealt with before any change can occur?
2. Are there some forces whose direction can be reversed from hindering to helping?
3. Which hindering forces can be reduced or removed with least effort?
4. Which helping forces can be strengthened or increased?
5. What helping forces might be added?

E. Mustering Support Resources

Who can help:

1. By sharing analysis?
2. By suggesting additional forces that have not been identified?
3. By checking strategy?
4. By acting as "devil's advocate"?
5. By ensuring the action plan is implemented?

APPENDIX

TWO WORK-RELATED PRACTICAL EXAMPLES

EXAMPLE 1—Goal Clarification—Asking Why?

Goal clarification is a process of continual refinement whereby the first vague and feelings-based statement of a problem is gradually converted into a more precise statement of intent, which becomes the objective and goal to work

towards. In this way the "problem", with all its negative connotations can begin to assume the more positive form of a goal, the basis for an Action Plan.

A useful strategy for producing a goal from a problem, and for boiling down a complex situation into its essentials, is repeatedly to ask the

question "Why?". For example, a bank manager might say there is a problem as follows:

"It's impossible to develop the business of my branch."

WHY?

"Because I don't have time to go



out and visit any prospective customers.”

WHY?

“Because I daren’t leave the office during working hours.”

WHY?

“Because there is nobody I can trust to deal with things properly when I am not there.”

WHY?

“Because my assistant doesn’t know what to do in the event of standing in for me.”

WHY?

“Because I’m under so much pressure that I haven’t time to train junior staff.”

WHY?

“Because I’m always spending time sorting out mistakes made by the junior staff.”

WHY?

“Because there are insufficient competent staff to cope with day-to-day pressures.”

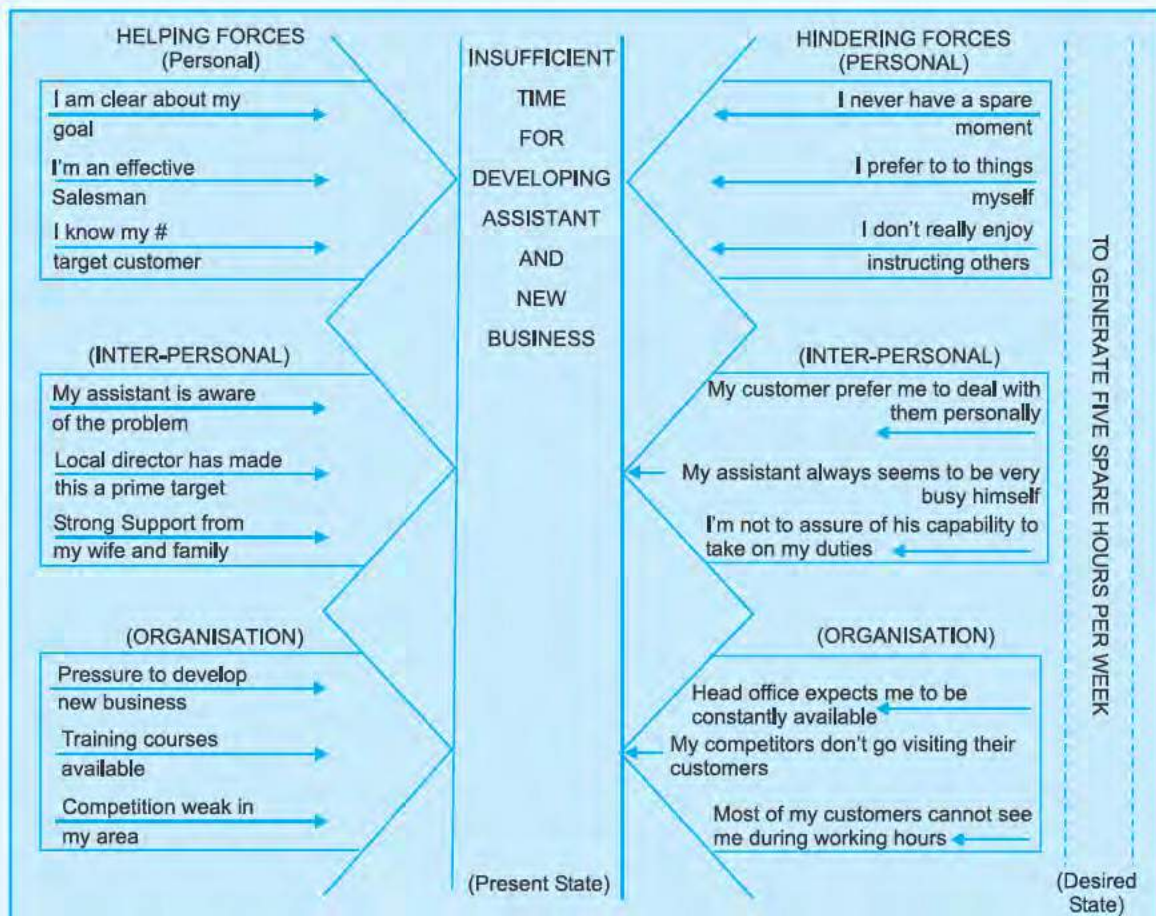
WHY?

It is clear that there is a vicious circle here and the manager’s first statement of the problem is more of an emotive excuse than a basis for action. The root causes are buried somewhere within the re-statement of the problem, some of which contain the seeds of a possible solution. The manager must, therefore, make a choice as to which of these to adapt for the re-statement of the problem.

In force field terms this can be stated as follows:

Present Situation

There is insufficient time to train my





assistant to stand in for me when I go visiting.

Desired Situation

To generate five hours per week in which I can develop my assistant's skills and the business of the branch.

We now have the basis for making a force field analysis as follows:

As before, the Action Plan can be based on selecting just one of the above forces and devising the necessary steps to alter its impact on the balance of forces which are maintaining the present *status quo*.

EXAMPLE 2—“There are no promotion prospects in my organisation”:

Goal Clarification

1. I'm fed up.
2. I want to get on.
3. The organisation is not expanding.
4. I've just been turned down for a higher grade job.
5. I can't afford to give up my pension rights, mortgage etc.
6. My immediate boss retires three

years from now. I would like his/her job.

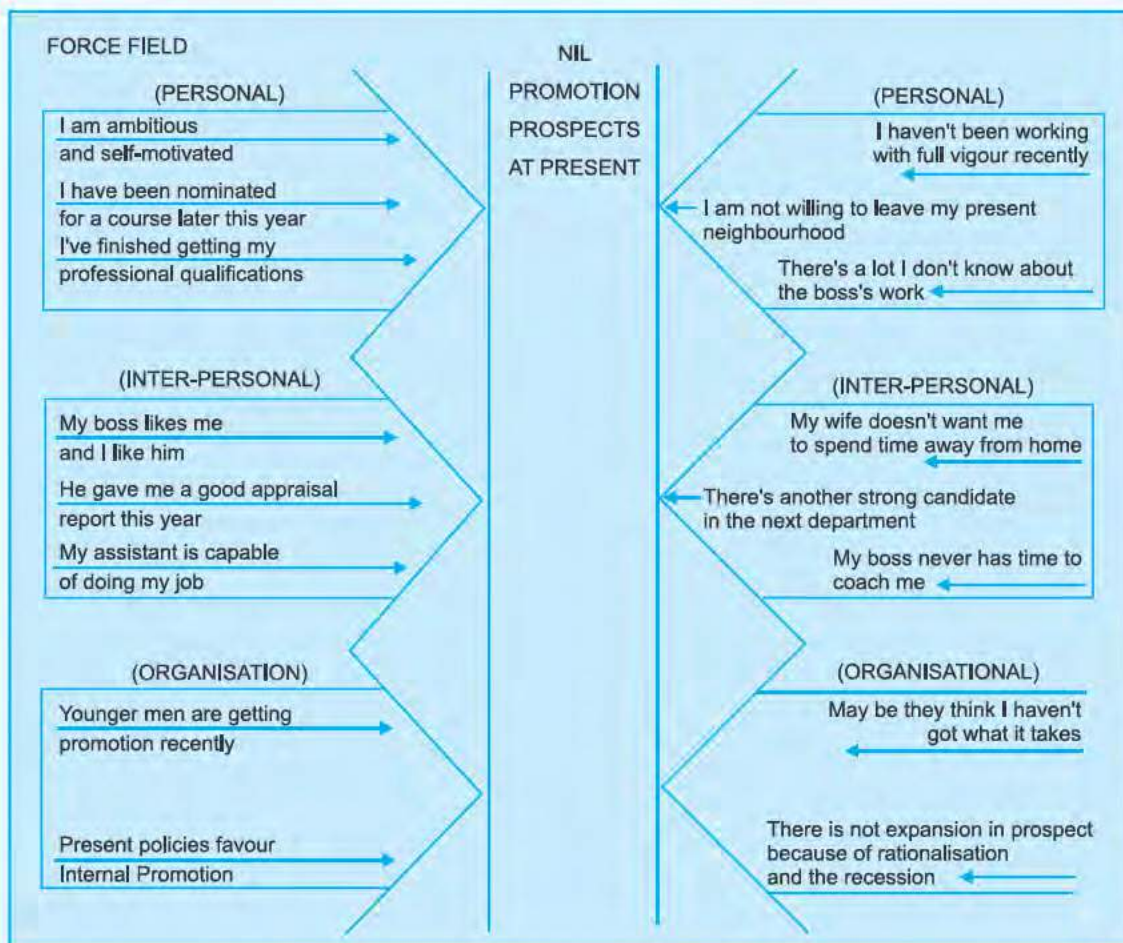
Re-Statement

Present *status quo*: My promotion prospects are currently at a standstill.

Desired *status quo*: To hold my boss's job two years from now.

ACTION PLAN

Select the force most amenable to change, and proceed as outlined on pages <insert page ref when printed> omitting any ideas which do not fit the overall situation at hand.



Advocacy Communication and Peace-building in Colombia and Venezuela: Managing People's Claim for Change

María Gabriela Mata Carnevali

Lo más oscuro es el ojo blanco del ciego
Oscuro el corazón si se disfraza de granito

Alfredo Pérez Alencart¹

INTRODUCTION

Advocacy, in essence, means gaining political commitment and policy support through organized social action with the participation of committed individuals, support from influential forces and the involvement of concerned sectors of society. It implies collecting and structuring information into a persuasive case and communicating it through various interpersonal and media channels (Servaes and Malikhao, 2012).

Embracing peace, on the other hand, passes through the study of causes of conflict and preconditions for its peaceful resolution, because peace is more than the absence of war, and cannot be achieved through war, as once thought. On the contrary, it has to do with overcoming all types of physical, structural, psychological or ecological violence, and with our capacity and ability to transform conflict, so that instead of having a

violent and destructive expression, conflictive situations become opportunities for change, adaptation and exchange (School of Global Studies, 2015). It cannot be conquered or imposed, it has to be built, based on a fairly simple formula that involves the prior recognition of the equal dignity of men, with absolute disregard of any other qualification or condition (sex, race, religion, political persuasion or status), through a just order in which everyone can see their basic needs met, their access to truth respected, their freedom and their security guaranteed; but, above all, an order in which they can be recognized as agents of their own history (Rendon Merino, 2000). That is why Peace-building is increasingly associated with the defence and promotion of **Human Rights: No doubt, it implies some kind of “political management” through advocacy communication.**

“Political management applies strategic tools and techniques to

make democracy work”, is written on the portal of the George Washington’s Graduate School of Political Management. We can but read it with skepticism. What about authoritarian regimes like Venezuela’s Bolivarian version? Do they not manage, or try to manage, political distress of the people to remain in power and mock Democracy? What about governments wanting to impose their vision to the people in the name of a supposed majority like in Colombia’s last referendum on peace agreement?

Venezuela is becoming a naked dictatorship. In general, it is recognized that governments of Hugo Chávez and Nicolás Maduro have used the elections as a mechanism of legitimacy and hold on power, while they have undermined important democratic principles such as separation of powers and respect for human rights. So says, the report that supports the request for application of the Democratic Charter by the Secretary General of



the OAS in June 2016. The concern of some regional actors in front of the ethical and legal position of Almagro, illustrates the clash between the classic state-centric paradigm, where states aspire to maintain absolute control, and the new trans governmental visions, which open space to non-governmental forces and citizen action. Some are radical in their critics: “The government has openly adopted the tactics ordinarily used by authoritarian regimes, has jailed political opponents, censored the media and intimidated civil society,” says Jose Miguel Vivanco, Americas Director of Human Rights Watch (NTN24, July 1, 2014).

HOW COULD THIS HAVE POSSIBLY HAPPENED?

A leader of Latin-American independence, and once the strongest economy in the region, it has been hard hit over the last few years by low oil prices, triple-digit inflation, and political upheaval — all leading to shortages of food, medicine, and household goods. Popularity and legitimacy of the government are decreasing quickly. Society is polarized. Some blame the socialist model implemented by Hugo Chávez in 1999, others a supposed “economic war” on the part of *la derecha*, right-wing political parties allied with the Empire, read as the United States. Specialists think a civil war might be on the horizon, despite both, the government and the opposition, say they want peace. What is the meaning of peace to each

one and how do they communicate it? Is the government ready to listen to the people or will continue to play blind?

WHAT ABOUT COLOMBIA? WHY VOTERS SAID NOT TO PEACE DEAL?

In this article it will be argued that communication is crucial to manage people’s claim for change and articulate new autonomic spaces for inter-subjective political action that somehow reinstate the lost ones and empower those who haven’t been able to participate in politics so far, looking forward the establishment of new consensual logics of governance. A citizenship approach is, therefore, the key to understand both cases under study.

1. Framing Communication for Peace-building

Liberalism developed primarily on the basis of two fundamental social ideas: that politics is essentially the art of reaching non-coercive agreements between various interests, and that democracy is the only effective mean for that (Sabine, 2009: 566). Consequently, although some endorsed Hegel’s criticism on its implicit individualism, actually it is not until very recently that the two main assumptions of his theory are becoming widely accepted: (a) that society is a moving balance of antithetical forces, engendering social change through their tension and struggle and (b) that history is

the product of these struggles. The reason for this delay may be found in the adaptation that Karl Marx made of Hegel’s philosophy of History for his own theory of dialectic materialism, at the root of the most important experiences of socialism/communism in the world, which are considered openly undemocratic.

Given the complexity of our contemporary societies, I share with Xiomara Martínez (2011: 11), that it is necessary to return to “the questions of an ontology of the polis substantiated in instituting conflict of the One and the Other, and from there consider seeking a democratic consensus.” In other words, we choose to settle the conflict and take care of their “strict untranscendability.” to think democratically and contribute in this way, to peace-building, honoring Bloch’s principle of hope, which “is in love with success rather than failure”, and is superior to fear. For this author (1959: Introduction):

The emotion of hope goes out of itself, makes people broad instead of confining them, and cannot know nearly enough of what it is that makes them inwardly aimed, of what may be allied to them outwardly. The work of this emotion requires people who throw themselves actively into what is becoming, to which they themselves belong.

In the arena of conflict transformation and peace-building, communications have historically



played a role in shaping the views of policy-makers and influencing popular opinion on conflicts. In fact, a new term was created: Communication for Peace-building, which has its roots in the philosophy and practice of Communication for Development, considering that it cannot be peace without development or development without peace (School of Global Studies 2015; Search for Common Ground, 2012; Unescopress, 2011).

Since, there is no point in reviewing in depth the parallel histories of Communication for Development and Communication for Peace-building, we will only point out that the kind of advocacy we advocate is participatory aligning with the new theoretical trends.

Search for Common Ground (*op. cit.*) points out, for example, that with the accelerating pace of change and the use of an increasingly diverse range of communication tools, it is possible to talk of a “shift from the institutional, vertical realm to the new communication space characterized by the merging of mass media and the interactive, horizontal networks of communication.” The recent events in the Middle East are a good example of how it has enabled social movements to organize and bring about revolutionary social change. But, still there is here a media approach that we would like to transcend.

Considering that, in general, communication reinforces hegemonic values and priorities in society, we

would like to discuss advocacy communication for peace-building within the critical perspective of development communication theory proposed by Melkote and Steeves (2004), who examine how the organizational value of communication (as opposed to its transmission value) may be harnessed to help empower the people against the government.

For those who view communication as a process of “message delivery” and development as equal to modernization *via* the adoption of new technologies, and/or inculcating certain values, attitudes and behaviours in population, development communication was a “persuasive tool”. In contrast, more critical approaches, such as Melkote and Steeves reject this “marketing model” that aims to spread and support Western technologies and political values from top to bottom and sees it as a process of consensus building and resistance, which is more adequate to our subject of study.

In other words, we rather look at advocacy communication for peace-building in Venezuela and Colombia not as a linear process concentrated in media, but more historically grounded, with attention to all political, economic and ideological structures and processes that comprise society. More like a “communicative action” in the sense of Habermas theory (1984, 1987)². Specifically we will focus on the vindication of human rights through the recovery and exercise of citizenship.

2. Peace-building in Venezuela. A Challenge for Civil Society

According to the oldest conceptions, citizenship meant mostly to be granted basic civil rights as residence, census, conscripting or the right to bring an action in justice; but at the same time, it meant participating in politics, either directly or by designated representatives. Modern conception of the concept has undergone some changes due, among other things, to the evolution of the state and human rights. If in ancient Rome the slave was a man with no rights in contrast to citizens, now-a-days civil rights are part of the natural and sacred rights of men.

These rights that must be protected/guaranteed by the various States under the watchful eye of the international society have expanded over time. The “first generation” involves civil and political rights, all related to the principle of *freedom*. Generally, they are considered negative rights which require public authority’s inhibition and non-interference in the private sphere. The “second generation” points to economic, social and cultural rights, which are linked with the principle of *equality* and require for effective implementation of the intervention of public authorities through the provision of services. Rights of the “third generation”, also known as solidarity rights or people’s rights, imply supranational issues as the right to peace and to a healthy environment. All of them are bound by the principles of universality,



interdependence, indivisibility and progressiveness. That is, they are all inherent to the human condition and no group can be considered more important than another because they condition each other and are constantly expanding, not *vice versa*.

On the other hand, the emergence of the modern State (the union of a central power, a territory and a population around the revolutionary concept of sovereignty, which implies control, but also is the foundation of command), the so-called Nation-State or Liberal State in its evolution towards a Democratic State in its different variants, carries in plural societies, in addition to the separation of the political institutions of the "Civil Society", the problem of representation and government control by the *demos* (people), making it difficult to define a "common good".

In a Democracy then, the recognition of citizenship is no longer based on the identification of individuals who share common interests and values, but in the recognition of the people as a plural reality, where the equality of its members is located in the ability and right that everyone has to be different (Serrano, 1997). Indeed, it is impossible to speak of people as a "macro subject". Neither of the "common good" as something concrete (Schumpeter, 1983; Serrano, *op cit*). These are just ideas to be disaggregated in each specific context. Hence, it is necessary to ensure not only the possibility of

dissent, but the effective participation of the various sectoral components of national societies (Pérez Campos, 2009; Thompson, 1995). The goal is equal participation in political power as a formula for peace.

That is why for Chantal Muffe (2003:39):

Democratic society can no longer be conceived as a society that has realized the dream of a perfect harmony in their social relations. Its democratic character can only be given by the fact that no limited social actor can attribute itself the representation of the whole. The main question of democratic politics is not then how to [achieve, control] eliminate power but how to constitute forms of power that are compatible with democratic values.

In this context, it is worth noting the importance of "public space", where the ideas that determine the decision making process on public matters are to be debated, (López, 1996) and which, by definition, consider the public as something that incorporates, but is not confined in the State. This gives a starring role to Civil Society, complementing the traditional mechanisms of representation (political parties) with the mechanisms of participation of citizens organized for the exercise and protection of their fundamental rights, specially their right to dissent (Cunill, 1997).

In the socialist Venezuela, dreamed as a dream of equality, the

government has become the exclusive holder of collective interests, and this submission of society to the State compromises the very essence of Democracy and citizenship; being the latter in fact, a vetoed concept having been bartered by that of "people power", which emphasizes the idea of a particular *demos* (the underclass). The situation becomes even worse, when the opposition is punished with violence.

A nation that seemed to have found direction in the construction of a modernizing project through a client oriented State (a sort of Patrimonial State), distributor of the national income (based mostly on oil rent), led to the consolidation of a revolutionary hegemony seeking greater social justice that has referred, in practice, the autonomy of different sectors, co-opting their areas of political interaction, adopting the typical fuzzy sovereignty of totalitarian regimes through an arbitrary use of "state money" and violence (Delgado Flores, 2014: 126). To put it Cabrujas words (1987: 2 and 14), a well-known Venezuelan playwright, the concept of State is just a *disimulo*, a "dissimulation", a "slyness", a "legal trick" that formally justifies desires, outrages and other forms of *me da la gana* "I do as I please"; "reality acting as a frustration of the sublime".

In what is a perversion of the restriction of freedoms in pursuit of equality (Uprimny, 1992), we see just another way to generate inequality, that is even damaging the overall performance of the economy. Land



and private enterprises, fruit of a lifetime of work, have been confiscated with consequent declines in domestic production that causes inflation and social discomfort.

Recently, a government official was jeered for saying that “Venezuela has plenty of food”, when rows and rows of empty shelves in stores were telling a different story. People, who have seen their right to buy limited to two days per week, are queueing overnight for subsidized products such as soap, milk, rice, coffee, and diapers. Fearful of public unrest escalating into something more serious, the government has deployed troops to control the entries of the supermarkets (Coppola, 2015). Additionally, it invented a new distribution system based on Local Committees of Supply and Production, better known by its Spanish acronym CLAP that is supposed to deliver regulated products house by house. This system has been questioned by businessmen and other voices of the political opposition, who consider the government’s method discriminatory, since the logistic is in the hands of pro governmental organizations at the local level. “CLAP is politicizing hunger of the people and it is doomed to fail, as all of the administration’s policies are,” legislator Julio Borges said (PanAmpost, July 9, 2016)³

In parallel, corruption and drug trafficking are vanishing any trace of idealism. According to Luis Fleischman (August 11, 2016) “Venezuela flaunts its status as a Narco-State” by appointing Nestor Reverol as new Minister of Interior

and Justice, regardless he has been recently accused by a Federal Court in New York of participating in a drug trafficking network and of aiding in the smuggling of cocaine into de United States.

Thus, a cruel reality is killing the utopia stated by Chávez and must make way for a new one that fits everyone. In order to reach it, it is necessary to overcome the historical rentism⁴, and ensure the creation of new spaces of autonomy for the inter-political action to reinstate the one that are lost and empower those whose voices have been silenced, looking forward the establishment of new consensual logics of governance.

In regard to these “new logic of governance,” Mata Mollejas (2016: 89) simply proposes to abandon the presidential system. In his learned opinion, this requires: (a) the designation of a Prime Minister by the National Assembly, who will assume the functions of head of government subject to parliamentary majority, (b) a popular election of the President of the Republic, who will assume the role of Chief State (c) increased autonomy and independence of public powers.

According to Inés Quintero this would be perfectly feasible since Venezuelans would have a “Republican DNA” that accompanies them since the founding of the Republic, because otherwise it is not possible to explain that for 200 years, no matter which period of History you approach to,

there has always been people who dissent against the abuse of power” (Prieto, June 19, 2016).

But, first it is urgent to put an end to this nightmare. Venezuela moves towards recall referendum against Maduro and will defend it against the obstacles set by the government in the streets, if necessary. In fact, 1 September, 2016 hundreds of thousands of people have marched through the Venezuelan capital, Caracas, calling for Mr. Maduro’s removal. They blame him for Venezuela’s economic crisis and accuse the Electoral Commission of delaying the referendum that could shorten his stay in power. (BBC, September 2, 2016).

According to Henrique Capriles (Correo del Caroni, August 1, 2016) “Peace in Venezuela depends on the recall of referendum. The recall is a national sentiment; the people want to express themselves through voting. We are all waiting; we want to know what the schedule is”. His concern is the same of that of the most of the population. If the referendum takes place after January 10, 2017, even though the result requires Maduro’s recall, Chavism will remain in power and new elections will not be held, because, according to the legislation, if his departure occurs more than halfway through his term in office, his position must be taken over by the Vice President. A poll by Venebarómetro found that 88 per cent of “likely” voters in a recall referendum would choose to oust Maduro (*The Guardian*, August 31, 2016).



The Venezuelan government on its side convened a rally “for peace” on September 7, in support of Venezuelan President Nicolás Maduro. (*El Universal*, September 7, 2016). Government supporters were called to gather at nine spots in Caracas but they are less everyday due in part to internal constraints. In words of César Gómez, a Chavismo activist, this initiative intended to show support for Maduro’s administration and reaffirms the Chavista people’s commitment with peace nationwide, as reported by state-run news agency AVN. But what kind of peace is that one that discriminates against more than a half of a country? How do you keep “the peace” between narcogenerals and the rest of the military high command, between high-ranking and middle-ranking army officers, between PSUV’s left-wing pro-Cuban extremist faction in line with regional and mid-ranking officials and the grassroots? And how do you rank and file chavistas who are going hungry, who can see the CLAPs don’t work, and who never really liked Maduro in the first place from defecting *en masse*? According to Francisco Toro (August 10, 2016) “The government is desperately casting around for a way to kill the 2016 Recall without setting off a chain of defections from its ranks that could end up destabilizing it as much as the recall itself.”

Normally, the response to marches of the opposition is repression, which comes in various forms besides traditional tear gas and rubber bullets. The government has mobilized its

sprawling propaganda apparatus — newspapers and radio stations, half a dozen TV stations, hundreds of websites — in a concerted campaign of vilification to demonize the protest leaders as a shadowy fascist cabal in cahoots with American imperialists. Faced with a government that systematically equates protest with treason, people have been protesting for two years now primarily in defence of the very right to protest (Toro, February 24, 2014).

A protest is a communicative act—a performance. It exists to transmit a signal. It is our opinion that by raising the stakes ahead of the protests, by going all out to intimidate and threaten protesters, the government amplified the volume of the signal their participation sent.

3. Colombia’s Peace Pause

On October 2, the international day for Non-violence, Colombians shocked the world by voting against a peace agreement between the government and the Revolutionary Armed Forces of Colombia (FARC), an immense defeat for the administration of President Juan Manuel Santos, who did bet he would easily win. A narrow margin divided the yes-or-no vote, with 50.2 per cent of Colombians rejecting the peace deal and 49.8 per cent voting in favour.

Analysts are still trying to understand which could possibly have been the reasons for this surprising result. In general it seems to be consensus on Colombians said no:

to ‘impunity’

The Colombian society is still hurt by the many damages caused by the war. Some interpret signing the peace deal would be a way of absolving the guerrilla from their sins considering that, under the agreement, rank-and-file fighters were expected to be granted amnesty.

In fact, the deal would have allowed rebels to avoid jail if they confessed to their crimes such as killings, kidnappings, indiscriminate attacks and child recruitment, something that many Colombians found hard to swallow since the conflict has left an estimated of 260,000 people dead, 45,000 missing and nearly seven million displaced. (*AFP* October 3, 2016; *NY Times*, October 2, 2016).

to ‘communism’

The FARC formed in 1964 to fight for control of land and a communist system of government, after state forces crushed a rural uprising. The peace accord, negotiated in Cuba, aimed to convert the FARC into a civil political group, with temporary seats in Congress. That was maybe too much for many Colombians, who reject the FARC on ideological as well as moral grounds, considering it a narco-guerrilla.

Additionally, the leader of the ‘No’ camp, former president Alvaro Uribe, said the accord would ruin the economy and push Colombia towards “Castro-Chavism” — a reference to leftist leaders in Cuba and Venezuela (*AFP* October 3, 2016; *Telesur*, October 2, 2016).



to Nobel winner Santos

Colombia's President Juan Manuel Santos acted triumphantly when he signed the peace accord with the FARC on September 26, a week prior to the referendum. Opponents said they were in favour of peace but voiced distaste at the president and his determination to be the one to end the war on his terms. After all, what a plebiscite seeks is a political statement, a political verdict, and this animosity has spilled over to Santos being awarded the Nobel Peace Prize.

The official campaign strategists in Colombia thought that the only enemy to defeat in the plebiscite was abstention and their goal was to achieve the minimum threshold of votes required by law, supposing that those voting "no" would be a minority. Big mistake; some say the plebiscite was lost because political machinery that sought votes for Santos in the presidential election of 2014, did not move to bring him voters in the query for peace (Otalvora, October 7, 2016).

No camp, on the other side, with a strategy based on resentment with messages at the social media and regional radios was the cheapest and most effective in a long time sentenced its manager, former candidate for mayor of Medellin Juan Carlos Velez, in a statement that did not go unnoticed in the polarized and uncertain political environment after the defeat at the polls plebiscite to endorse the agreements (ambito.com, October 6, 2016). According to him

the strategy was so direct, that in areas of the Caribbean the message was that "we would become Venezuela". Anyway, it galvanized millions of Colombians against it by arguing that Colombia could get a better deal (respecting the Constitution), playing on animosity against the rebels (Crowcroft and Palumbo, October 2, 2016).

Anyhow, Colombians were able to voice their opinion concerning the peace accord. The referendum was not a vote for or against peace. What the "No" side rejected was not the desire for peace, but a specific peace agreement. "The drive for reconciliation continues, but according to the principles of a healthy society," said Maria Fernanda Cabal, an outspoken congresswoman. "Not giving the country away to bandits and the vanity of Santos" (AFP, October 3, 2016).

Not out some kind of justice, political pluralism without it appearing to be a prize for criminals. And it is clear that there can be no justice without establishing the truth and punishing the guilty ones. Therefore, the urge to forget and to forgive, goes hand in hand with the need to "remember". The memory of the root causes of the violence experienced is crucial to establish the truth of what happened, considering that, as stated by Helena McCormick (2000:23) in relation to apartheid in South Africa, "the connection between violence and silence can disturb or worse, destroy in us the ability to think historically", and therefore, to draw the necessary lessons.

It is our opinion that the conquest of peace cannot be an exclusive affair of Uribe or Santos, but a collective construction of Colombians through a "communicative citizenship". According to Martínez Roa (2014), there are four main requirements for what he calls a "communicative citizenship" to be effective and real: communication skills, availability of reliable information, communication mechanisms and active receptivity. These constitute key elements in designing a strategy for a lasting and sustainable peace.

Communicative citizenships have been interpreted in two ways: as an individual capacity or a collective action within a regulatory framework that gives legal powers and institutional and social recognition.

This author assumes the concept on four different levels, depending on the degree of involvement and commitment on the part of the individuals or groups. A first level is related to the *expression*, seen as the externalization of a discursive statement that intends to spread an idea or thought through the use of media and languages that may or may not achieve a reaction by any party. A second level is the *informativeness*, understood as the capacity of making sense out of a circulating information through an active reception, that contrasts sources and propositional power of the contents. A third level would be *communicability*, which has to do with the establishment of shared meanings in situations of confrontation, exchange, negotiation, resistance or conciliation between



social actors as legitimate interlocutors in a communicative relationship. And finally the fourth level, that lies in a *critical reception*, as an exercise of production of meaning out of media messages as well as other types of message. According to him, mediations are especially important when they resignify or redefine its role through resilience and negotiation of senses at the moment of reception.

Code

For both cases under study, the

solution is to dream a new dream to be realized with the participation of all through the exercise of citizenship or, more precisely, a “communicative citizenship”. Whereas the “people power” in Venezuela or “the power of the elites” in Colombia represent the power of only some of the people, citizenship is the idea that would return us to the totality lost, but not a merely antagonistic citizenship or dependent on the State, but a well-articulated one to the civic institutions, complementing the traditional mechanisms of representation (political parties) with

the mechanisms of participation of citizens organized for the exercise and protection of their fundamental rights, specially their right to dissent.

Anyway, communication is crucial to manage people’s claim for change and articulate new autonomic spaces for inter-subjective political action that somehow reinstate the lost ones and empower those who have not been able to participate in politics so far, looking forward the establishment of new consensual logics of governance compatible with democratic values.

NOTES

1. “The darkest thing, the white eye of the blind. Dark the heart disguised in granite”. Alfredo Pérez Alecart, Peruvian poet. My translation.
2. The theory of communicative action gives shape a concept of reason which is not grounded in instrumental or objectivistic terms, but rather in an emancipatory communicative act. Communicative action for Habermas is possible given human capacity for rationality. This rationality, however, is “no tied to, and limited by, the subjectivistic and individualistic premises of modern philosophy and social theory.” Instead, Habermas situates it at a social level. “Every consensus rest on an intersubjective recognition of criticisable validity claims; it is thereby presupposed that those acting communicatively are capable of mutual criticism” (p. 119, Vol. 1).
3. For an extensive report see EL Nacionaal http://www.el-nacional.com/siete_dias/discriminacion-politica-CLAP-repartir-alimentos_0_856114474.html
4. Expression of a political culture since the idea of sembrar el petróleo, to “harvest petroleum”, is yet but a mere illusion. Among the essential features of the “Venezuelan being” would tilt rulers of strong personality, dependence of welfare State and a radical assessment of egalitarianism over freedom, which is linked to the fair distribution of oil/mining revenues.

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The Being and Becoming of Transpersonal Leadership

Annabel Beerel

THE ETERNAL QUESTION OF LEADERSHIP

Although for decades now there has been a great dedication to educating and training people for the role of leadership, a paucity of good and effective leaders remains. By good leaders, I am referring to leaders who demonstrate ethical sensitivity and courage. By effective, I mean leaders who lead well. What it means to lead well, I explore later in this article.

Despite the plethora of books, texts, and videos that continue to be produced in an almost dizzying manifestation of leadership ideas and techniques, sometimes supported by fragmentary or selective data, a key question endures: what is leadership exactly? What does it mean to lead well? And what is the goal of the leadership endeavour? A review of the literature and available educational offerings reveals that, particularly the latter question, continues to receive minimal attention.

As with many of our modern endeavours, we seem to have thrown the baby out with the bath water. We have come to focus on leaders' emotional intelligence, styles of operation and methods of execution, and have set aside, or even forgotten

what it is they are supposedly leading us toward. To lead, as we know, means to guide or direct a course of action. The critical question is: will any course of action do? Will guidance to the swamps be acceptable? Will self-serving, self-aggrandizing achievement of transient goals that satisfy short term hungers, fears, yearnings for safety and protection, or fulfilment of immediate desires be the determinant of leadership success? What is the goal of leading, and can one name one that is not context specific?

If we review anthropological studies, religious history, and sociological theories, we find that the idea of a guide or a leader used to be someone who was concerned with the well-being of those being guided. The leader, took on the task, both internally and externally, of leading people through the challenging realities of the times, often across deserts to new pastures, new lands, new competencies and new mindsets. The implicit leadership responsibility was not only to face the presiding reality honestly and squarely, but to help people find a way through the trials to a new reality where existing challenges are outgrown and transcended. The leadership challenge was to call on

people's potential to rise above the old and embrace the new. The rallying cry was a call to transcending one's fate to find a new freedom.

Although history is replete with many villainous leaders who have abused their offices or people's trust in them, there was some understanding that a trust had been violated. That trust was that the leader would guide others to a place of safety, to greater wholeness, and a place of flourishing and growth. There was some understanding that the leader would help his or her people transcend their current circumstances and find life, meaning and purpose in the new reality. Our twenty-first century understanding of leadership is, I would argue, a far cry from this implicit expectation of leadership. Firstly, the role of leadership is most often confused with the role of authority. And secondly, leadership is most commonly touted as someone who has a vision that will lead the organization to success. Success is, of course, another nebulous concept; unclearly defined; highly dependent on the capriciousness of the times and subject to the whims of those in power. The implicit leadership responsibility, I argue, has almost been dissolved.



THE EVOLUTION OF LEADERSHIP THEORIES

As my focus is on organizational leadership, here I briefly summarize the development of organizational theories of leadership commencing with the twentieth century to help us understand the threshold on which we now stand.

Of course, an anachronistic view of leadership, that still persists in many quarters, is that leaders are born and not made. Jokes abound about what born leaders looks like (tall, handsome, strong, a good haircut, and so on) and in this paradigm, women are almost certainly excluded. Once we opened the door to other attributes than hereditary ties or genetics, the trait approach was embraced where leaders with certain profiles that include a high dose of charisma were now considered potential leadership prospects.

The trait approach was followed by the skills approach; plan, lead, organization and control, known as PLOC, was a popular acronym at one time. At this time, strategic planning also became in vogue along with a proficiency in a variety of problem-solving skills. This era was followed by the sudden realization that organizations depend on people—their motivations and dispositions. This led to focus on Blake and Mouton's managerial grid, the Meyers Briggs type indicator, and the Enneagram. At this point the question was whether the erstwhile leader had the relationship skills so as to lead

the organization to success.

The humanist movement came to full bloom with the revelation that being able to relate to oneself and others is a core skill needed as a leader and the Emotional Intelligence (EI) revolution was born. The Introduction of EI into leadership heralded a greater focus on the psychological capacity and strengths of the incumbent than previously. Here, there was clearly a shift from hereditary ties to genetics to skills development to psychological capacity and competency. Good leaders now need to be good psychologists, they are self-aware, understand themselves, the situation, and others with a psychological lens. Embracing this notion of leadership does not jettison the other leadership lenses but enhances them.

The huge emphasis on EI remains to this day, although, in my experience, the actual existence of authentic emotional intelligence in the workplace remains hugely lacking. EI training, like ethics training, has, in my opinion, very poor results other than with those who are naturally relationally strong or ethically sensitive in the first place. Around the time of the EI emergence other leadership theories arose with respect to situational circumstances and contingencies. The emphasis here was that different leadership styles and responses was required in different circumstances. There is no one size fits all.

Simultaneous with the EI movement, was the introduction of

Transformational as opposed to Transactional leadership theories where transpersonal leadership seeks to engage the full person and his or her potentialities, while transactional leadership is focused on transactions and consequences rather than the inherent growth of the individual in the change process. This approach is somewhat of a return to the more holistic responsibilities of leadership. Here, the leader is not only providing direction with respect to external circumstances and events, but is also guiding others in personal growth and transformation. The leadership efforts are concerned with heightening others' ethical sensitivities and personal potentials. The transformational leader encourages the self-actualization of others and role models and provides opportunities for this to occur. Personal growth of others is thus a leadership goal.

In between the developments discussed above, Servant Leadership surfaced as an approach to leadership where humility and service play a primary role.

The end of the twentieth century ushered in a new leadership theory known broadly as adaptive leadership. Here at last, some attention was given to the goal of leadership efforts which is defined as developing an adaptive organization with adaptive individuals who can readily adapt to changing realities (Beerel, 2009). The adaptive approach to leadership includes a strong psychological element focused on overcoming challenges to the ego, recalibrating oneself and the



organization, building resilience and strengthening inner esteem. Adaptive leadership focuses on learning and transformation which is predicated by being open to new and different mindsets. Here we see the beginnings of the emphasis on a need for a changing consciousness in order to lead one's personal life effectively or to lead others.

As we review the evolution of leadership theories, we notice a distinct shift from a capacity for doing to a state of being. There has also been a shift from the strictly behavioural learned skills approach to greater and greater emphasis on the psychological maturity and strength of the individual. To lead others is now considered a psychological skill. One needs to know one's own and to be able to understand and work with the psyche of others both individually and in group situations. These are the theories at least.

The most recent theories of leadership now focus on shifts in consciousness. This requires an ability to open one's mind to new forms of awareness. It also addresses the need to evolve one consciousness to embrace different states. This does not imply a requirement to smoke *marijuana* or take mescaline or LSD, but rather to add meditation and other spiritual practices to one's own personal development. It also includes a respect for the spiritual dimension of life and the existence of a deeper self.

Since, the evolution of leadership theories maps to some extent the

evolution in psychological theories, a brief review of the impact of psychological theories on the understanding of leadership provides a foundation for understanding the latest insights.

THE EVOLUTION OF PSYCHOLOGY

Psyche Lost

Psychology is concerned with the human experience. Prior to the Enlightenment (circa 1685-1815), shamans, priests, rabbis and doctors, were guides and healers who tended to people's physical, psychological and spiritual welfare. The demarcations between these domains was blurred. An unhealthy body was the result of an unhappy spirit or a yearning soul. Sickness was the result of a disturbed mind or as a result of mental afflictions. Attention to maladies, whatever they were, was holistic and less compartmentalized. Rationality and logic played some part, but so did gods, spirits, souls, dead ancestors, dreams, incubation sessions, and a variety of other paranormal actions and events. The human experience was not confined to one consciousness, one material world, or one realm.

Enlightenment thinking changed all of this. It emphasized that all things could be, and should be, studied and understood by the rational mind. Just as it jettisoned the idea of mystery and sacrament, it also took the psyche (spirit or soul) out of psychology. Inquiry into the human experience was turned into a positivistic science

where human actions were made the subject of empirical scrutiny wherein everything had a rational explanation that could be tested and justified.

All Things are Possible

While the spirit of the Enlightenment gets a negative rap for contributing to the desacralization of the world, it did inspire many people to a new freedom from religious dogma and superstition into a new possibility for the self. The idea of having personal beauty, potential, and opportunities to be all that one can be, had already begun with the thirteenth century Renaissance.

The Enlightenment fervour reinvigorated this attitude by stressing that all things can be rationally grasped by humankind and that all things are possible.

It was Friedrich Nietzsche (1844-1900), who acknowledged the Kantian inaccessibility of transcendentals, such as truth or god, to human reason. He held that establishing rational epistemologies was a surreptitious operation of the will to power, in its attempt to order the indefinable infinity of existence (Banerji, 2016). Rather than define humankind in terms of the cosmos and reason, Nietzsche posited the Will to Power as the most fundamental principle of life, one which attempted to assert itself everywhere and in every way through political dominance, but whose highest potency was creative self-transcendence, the cosmic human or *Übermensch*. Here, we see the



beginnings of a non-religious recognition of the self-transcendence capacity of human beings.

Nietzsche's ideas were followed by the twentieth century psychological philosophies of phenomenology and existentialism. Phenomenology focuses on the analysis of experience, while existentialism focused on the conditions for authenticity of existence and self-transcendence. This evolution in psychological understanding of the inherent capacities of the human being paved the way for a reassertion of the importance of the individual and his or her innate need to express and live his or her potentials. It also provided this impetus in non-religious terms, which is the hallmark of modernity. Many people, especially in the Western nations (so defined), eschew anything that has any ties or links to organized religion. Self-transcendence and self-actualization are thus acceptable, non-partisan terms.

The ideas of self-transcendence and self-actualization thus belong to our modern world as does respect for the spiritual aspect of human experience outside of the official Church. This (revived) respect for the possibilities and potential for each individual and their new found freedom from a preordained fate, has also shifted the understanding of leadership. Leaders are no longer born or inherited through some monarchical or noble line. Now, anyone can take on the mantle of leadership. Thanks in some respect to the capitalistic spirit that is pervading the world, the

boundaries and limitations for human growth and development have been blurred and in some societies totally removed. In principle, everyone has the capacity to grow and develop, all they need is opportunity.

Psyche Regained

Spiritual psychology, or what is now termed transpersonal psychology, must surely first be credited to the work and ideas of Carl Jung (1875-1961). His theories of the unconscious, the presence of archetypes, the role of the numinous in personal experience, and his concept of individuation, I would argue set the stage for future ideas of self-growth, development and actualization. It was Jung who insisted that the psyche has a natural religious function. His ideas on spiritual growth, inner psychic development and integration were drawn from his studies of the Eastern traditions and helped him formulate the individuation process (Frager, 2006). Jung believed that the psyche (what we term mind), has an innate urge to wholeness. This wholeness refers to coming to one's full selfhood or self-realization (Frager, 2006). It is attaining our unique potential; the fullness of who we are. It is a progression to ever new levels of consciousness and to ever greater (inner) freedom. While Jung's theory of psyche is more complex than that of Abraham Maslow (one of the founders of humanistic psychology), he also focused on dealing with the obstacles to personal growth and the role of the unconscious.

Jung, was instrumental in putting the psyche back into psychology. His work on the transformative process of "individuation" also prepared and converged with that of humanistic and transpersonal psychology (see below). After his groundbreaking insights, the soul and spirit of a person could no longer be totally ignored. Psychologists who have followed in his wake, have more or less adopted his inquiry into the role of the unconscious, but looking at the potential of the human being (for example, self-esteem, ideal self, identity, development of consciousness, and the development of humanistic psychology) is now squarely centre stage in the arena of psychological method.

THE EMERGENCE OF TRANSPERSONAL PSYCHOLOGY

Abraham Maslow (1908-1970), is credited with framing and naming a forth psychology after psychoanalysis, behaviourism, and humanistic psychology, termed transpersonal psychology. While he and Carl Rogers (1902-1995) were known for their humanistic approach to psychology, Maslow wanted a more explicit acknowledgement of the spiritual aspect of human experience (Frager, 2006). The basic tenet of transpersonal psychology is that in each individual there is a deeper self experienced in transcendent states of consciousness. This deeper self extends the normally experienced identity of the individual. Recognizing that this



deeper self exists poses the question of the limits of human potential. Experiencing some of the range of human potential occurs during spiritual or transcendent experiences.

In this new psychological paradigm, there is recognition of a psychological reality as well as a physical reality (Jung was very clear about this experience). All forms of life share a psychological and spiritual connection and desire a feeling of that unity. Different levels of consciousness are possible [discussed eloquently by Ken Wilbur in *The Spectrum of Consciousness* (1977)], and at these different levels, people experience further parts of their identities. The natural, healthy inclination of an adult is to desire and to seek out these alternative experiences of the self on the path to personal integration and growth.

While the transpersonal realm of human experience was once the exclusive domain of the priest or spiritual teacher, it is now the concern of psychology.

Carl Rogers and Abraham Maslow

It is interesting to reflect on how Carl Rogers (1902-1995) and Abraham Maslow (1908-1970), helped pave the way for a humanistic and then a transpersonal psychology. Rogers was a Protestant clearly influenced by his theological training, and Maslow was a Russian Jewish immigrant, clearly influenced by the entrepreneurial spirit that many immigrants display. The Protestant

ethic of working out your own situation, and the can-do entrepreneurial ethic both placed emphasis on the source of growth and strength lying within the individual.

Rogers saw the self as a process – a becoming. Everyone not only has an innate capacity to develop, but values the ideal self to which he or she strives to self-actualize (This is, of course, very Aristotelean where a person's development is teleological – moving from actuality to potentiality.). The individual, like all living things, seeks to express and activate all its capacities and this is a healthy life-seeking inner drive. Psychological growth is based on learning and new experiences. According to Rogers, the individual has vast inner resources that can assist in the achieving personal growth. These resources are activated when the individual receives unconditional positive regard. The fully functioning person is open to new experience, lives in the present (is mindful), and is fully aware of what is going on within him or herself.

Rogers' person centred therapy focused on giving the individual the relational support and empathic understanding to satisfy their drive toward growth, health and adjustment. All domains of human experience, intellectual and spiritual were considered valid and valuable.

While Rogers named the self-actualizing tendency of humans, Maslow developed this further. He

agreed that this is not a static state and that it is an ongoing process toward continuous growth and progress. He also saw self-actualizing people as being less emotional, more objective, more optimistic and less caught up in their fears and defences. He claimed that two requirements for growth are commitment to something greater than oneself and success in one's chosen tasks. Major characteristics of self-actualizing people include courage, creativity, spontaneity, and hard work (Frager, 2006).

Maslow's research showed that self-actualizing people tend to be intrinsically motivated. They believe in some kind of spirituality and they have some kind of meaning in life. He identified that many of them are creative and spontaneous and have mystic and peak experiences. Based on his research into personal growth he developed his well-known hierarchy of needs which culminates in the self-actualizing stage. In time Maslow found that there is a need to identify something beyond the self-actualizing stage, where there is an experience of transcendental and sacred things and where there is acknowledgement of the infinite possibilities of human nature. Maslow named this new psychology transpersonal psychology. As mentioned earlier, here there is recognition of the spiritual aspect of human experience. The significant role of values, meaning and a calling beyond oneself. Here is the recognition that in the deeper self that is experienced in transcendent states of consciousness lies a source of



inner wisdom, health and harmony – a finding also of Rogers and Jung.

Transpersonal psychology seeks to bring traditional psychology and spirituality back together again. The spiritual dimension is, of course, infinite and the range of research and work done in these areas by Ken Wilbur, Stanislav Grof, and Michael Washburn, to name a few, provide a small example of this now rich and growing field. The yearning for transcendence, or the pull as Maslow calls it, is slowly getting the recognition it deserves if one wishes to have a psychology that honours the innate call to transformation towards the ever beckoning image of a god or divine impulse.

TRANSPERSONAL LEADERSHIP

The Times

Few would challenge the notion that we live in highly uncertain times. Although each age is surely characterized by disconnection, disruptive technologies, and radically different paradigms, it seems reasonable to posit that this era is not only confronted with the uncertainties this brings, but this is now a constant state of affairs. Added to the seemingly chaotic twists and turns of reality, is the lightning speed with which these twists and turns manifest themselves. The adage “what got you here, won’t get you there,” applies in every domain. Extrapolating the past to try to anticipate the future is an exercise in

futility. The new realities that are arriving have a different sense, vibration, and flavour. Everything is truly possible.

New Realities

At the beginning of this paper, I raised the question of what it means to lead well. I also suggested that many leadership theories emphasize the style of leadership adopted as being the measure of leading well. The trade literature also focuses on happy individuals at work and the coziness of the culture as the measure of effective leadership.

By contrast, I and others who lean more toward the adaptive and transpersonal approaches to leadership, place the measure of leadership efforts on the ability to identify, frame and adapt to new realities. Change arrives by way of new realities. These new realities usually emerge surreptitiously as psychic energies that can only be identified through exquisite attention to the present and deep attunement to the consciousness of the environment.

As these psychic energies evolve and suddenly manifest themselves in tangible realities, in some sense they are no longer new realities. They have already presented themselves as forces of change and require reaction. The earlier new realities can be identified, the less reactive one needs to be. A metaphor is the surfer catching the wave as it is cresting. If the wave has already begun to turn and become a wave as such, one’s options for riding it the way one

wants to diminish. If one only sees the wave as it hits the shore, one has no chances of riding it at all. One has simply to react to the turmoil that has been caused.

Leading well is thus the ability to facilitate the change required by new realities. It is most importantly about identifying new realities in their earliest stage of emergence. This requires a sensitivity of consciousness; a being present and alert, and an openness to phenomena beyond one’s previous experiences or normal conditioning. It is about expanding the individual and the organization’s consciousness to an ever expanding and changing view or grasp of reality. It is a recognition that changing reality is a constant (an oxymoron if ever there was one), and therefore, there is no one future arriving. The future to be found is in the present moment in a pulsating dance of continuous adjustment and change.

Transpersonal Psychology at Work

Whereas the transpersonal domain was once the domain of the shaman, priest or spiritual teacher, it is now very much the concern of psychology. While spiritual matters have been until fairly recently strictly *verboden* as part of organizational life, with the new emphasis on wellness and employee health, that too is changing. Yoga sessions and now mindfulness and meditation is creeping into the more enlightened cultures. Even though this is frequently done in efforts to



supposedly boost that hallowed bottom line, good actions for the wrong reason should not always be condemned. The dirty hands approach, as Marcus Aurelius termed it, has its merits.

Carl Jung argued that only through the transformation of consciousness can we change and grow. A transformation of consciousness is where real learning occurs, and Charles Darwin taught us that real learning invariably results in transformation. Since growth is not only an inherent part of our inner nature and calling, but is also required to adapt to our ever changing world, developing our consciousness is needed. This is the domain of transpersonal psychology.

A Definition

Transpersonal psychology is concerned with the study of humanity's highest potential and with the recognition, understanding, and realization of unitive, spiritual and transcendent experiences.

(Lajoie & Shapiro, 1992).

Maslow Revisited

While Maslow's hierarchy of needs remains a popular theory acknowledged in organizations there has not been much development of his ideas on self-actualization and his theories on transpersonal psychology. People pay great lip service towards the need to have self-actualizing employees but are not quite sure how to create a culture that makes that happen. Self-actualization means

recognizing a person's full humanness. It is an acknowledgement of a being and a continuous becoming, which if frustrated leads to neurosis, poor health and torpor.

Maslow wrote a great deal about peak experiences and about the true self that is experienced in transcendent states of consciousness. These states, he argued, is the source of inner wisdom, health and harmony.

Maslow coined the term *eupsychia* to refer to ideal, human oriented societies and communities where self-actualizing people would evolve and thrive. There would be enlightened management practices that would encourage people's creativity and need for self-transcendence. Despite Maslow's popularity with business organizations, he could never get any traction with these ideas.

This Thing Called Consciousness

I have no intention of delving into the enormous subject of consciousness in this brief article. I will stick my neck out and begin with a very basic definition of consciousness as awareness. There are all kinds of awarenesses from the subliminal to the attention-awareness of which we are most familiar. There is also the existence of self-awareness, which is the awareness of being aware (Tart, 2000).

As we know from our own experiences, from time to time we experience non-ordinary awareness,

moments when we are transported into another experiential realm. The impact of a beautiful sunset is a familiar example. Most of us have had all kind of experiences of a new or different awareness. The mystics describe the states in more or less detail. They are hard to understand in our ordinary states of consciousness. They have to be experienced to be understood. The important point that is to be made here, is that achieving altered states of consciousness or developing one's consciousness to embrace other states can be cultivated. Another important point is that cultivating this capacity seems to be to our benefit. We grow, develop, mature, become more relational, more appreciative of the bigger picture and wiser as a result of an expanded consciousness (Jung, 1964).

Robert Kegan (1994), the well-known Harvard psychologist, describes the evolution of consciousness as evolving the transcending of the self as subject. It is a continuous outgrowing of current understanding and growth into a new one. What at one stage is subject, at the next stage becomes object, as the self drops into ever deeper interiority or rises to ever higher and all embracing understandings. This is a movement from ongoing complexity to simplicity, which characterizes the mind of growing wisdom.

NURTURING THE TRANSPERSONAL LEADERS

The transpersonal leader is one who



places great emphasis on growth of his or her own potential. He or she really lives the motto “know thyself,” and realizes that the greatest wisdom lies in understanding that one does not know. Knowing is a searching; an ongoing process, a never ending quest of progress and evolution in humility. Each new stage of knowing reached, creates a new platform of unknowing.

The focus of transpersonal growth is to develop one’s consciousness in every dimension available. It is an explicit recognition that the call of self-transcendence, is innate and critical to the vitality of being human. This call of self-transcendence comes in a variety of ways, not least of which through soul-full or numinous experiences. Just as it is important to know some facts, hone certain technical skills, it is also important to take care of the soul. Allowing for the notion of spirit as the vital force that animates life, enables the transpersonal leader to be open to possibilities that otherwise he or she might not recognize.

An interesting observation is that, throughout history, leaders of note

have all practiced some form of religion or engaged in some kind of spiritual practice. Besides the obvious names of Jesus, the Buddha, Confucius, Plato, Aristotle, Marcus Aurelius, Alexander the Great, Ghengis Khan, Gandhi, Abraham Lincoln, Margaret Thatcher, Nelson Mandela, and Angela Merkel, in my experience, leaders that head the more enduring successful organizations have some religious affiliation or engage in some spiritual practice.

By adopting a transpersonal psychology, the transpersonal leader can become a potentiator, a term coined by Mark McCaslin (2008), to refer to leaders that bring out the highest potential in others. It is only through first developing one’s own consciousness and changing one’s own capacities for infinite awareness that one can evoke this evolution in others.

According to Karl Kozdz (1999), transpersonal leadership is grounded in a beingness beyond ego, personality and the mind. Executives who display this kind of leadership demonstrate the attributes of

vulnerability, authenticity, humility and a posture of not knowingness. They bring to their attunement of reality cognitive, emotional and spiritual intelligence. They exhibit a refined intuition honed by the harnessing of multiple intelligences — that of the shaman, the philosopher, the scientist, and the mystic (de Quincey, 2005).

As the turmoil of our world continues unabatedly, hopefully the notion of transpersonal leadership will awaken some self-actualizing individuals and leaders who are inspired by the huge possibilities of their own self-transcendence and that of others. If self-transcendence could become a new corporate (and societal) motto we may just return to the glorious ages of the past where virtue and humility were the starting points for a human centred teleology.

So, what does it mean to lead well? It means to dance in and with reality as it changes in an ever greater evolution of consciousness. Where should we be guided towards? Self-transcendence. What should be our theme? A Being and Becoming into our full humanness.

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Managing Corporate Innovation: An Implementation Framework

Rudy Yaksick

INTRODUCTION

In today's highly competitive, fast-changing business environment a corporation's profitability and growth depend on sustained innovation. Hence, C-level executives are grappling with the challenging issue:

How can innovation be managed to produce a balanced portfolio of innovations—incremental and breakthrough—that enable the company to create and capture significant value for its shareholders?

This paper aims to help C-level managers resolve this issue by presenting a framework for implementing a corporate innovation strategy. Hence, the paper assumes that the company has already formulated and received Board approval for an innovation strategy.

By innovation, we mean any project that is new to the company and, more importantly, has an uncertain outcome. By successful innovations, we mean innovations that either increase revenue or reduce costs or do both. Some innovations are routine—e.g. incremental, continuous process improvement—

and may have already been mastered by the company. Others are difficult, raising new, unexpected challenges for the company. This paper focuses on innovations that are difficult.

Why is corporate innovation—as opposed to innovation by “startup” ventures—a *Very* challenging task? The fundamental reason is that innovation creates a paradox for managers: beneficial, incremental innovation activity hinders breakthrough innovation. The root cause of this paradox is that there is an inherent conflict between the *Core* value engine operating attributes (i.e., repeatable, predictable tasks and processes) and breakthrough innovation activity—which is neither repeatable nor predictable!

An additional challenge in implementing an innovation strategy within a large organization is that innovation activities and ongoing operations are always in conflict, e.g. both make claims on the organization's limited human and financial resources. Moreover, managers of key operating activities (silos) are evaluated on short-term performance indicators, e.g. monthly production targets. Hence, silo managers prefer tasks, processes and activities that are easily repeatable

(routine), producing highly predictable outcomes.

In contrast, innovative activity tends to focus on long-term corporate objectives, requires patience, is non-routine and produces highly UNCERTAIN outcomes. In fact, project failure is the expected outcome. For example, experienced venture capital (risk capital) funds can repeatedly raise successor funds, if they have three to four successful companies for every 10 investments.

In light of these challenges, innovation managers must think differently about designing and implementing the corporate innovation strategy. To aid that thinking we propose one novel idea Innovation Teams would write their own innovation implementation processes, procedures and milestone targets, whenever the team needs a new policy not currently followed by a company business unit, e.g. HR, legal, and marketing. This “Bottom Up” implementation philosophy is based on the fact that the Innovation Programme lacks a crystal ball which identifies *All* future resource requirements and constraints affecting the successful implementation of the innovation strategy.



Finally, this paper assumes that the company's Board and C-level management team are strong supporters of the Lean Start-Up Methodology (Reiss, 2011) widely used in the Silicon Valley innovation ecosystem and taught at leading business schools, e.g. Stanford, Berkeley and MIT. The Lean Start-Up methodology focuses on consumer validation and acquisition; NOT the immediate writing of a business plan.

Lean Start-Up methodology has its intellectual roots in the Lean Manufacturing production philosophy pioneered by Taiichi Ohno. The idea is to eliminate wasteful practices and increase value-producing practices during the product development phase. By doing so, new ventures can shorten their product development cycles. The main steps in the Lean start-up development cycle include: business hypothesis-driven experimentation, iterative product releases and "validated" learning from structured interactions with potential early-adopter customers.

The paper is structured as follows. The next section establishes a common vocabulary and describes three types of innovation. Section two provides a bit more detail on the Innovation Paradox and organizational roadblocks to innovation. Section three addresses the question: What is innovation management? Section four presents the implementation framework, using a stage-gate approval methodology. Section five provides

two organizational changes designed to resolve the innovation paradox. Finally, Section six provides managers with advice on designing incentives to spur innovation. The paper concludes with a list of ten items of what corporate managers should not do if they want to encourage corporate innovation.

I. DEFINITIONS: INVENTION VERSUS INNOVATION

According to US Patent Law, an invention is something new, based on an Idea that is recognized as some unique intuition or genius. An invention is not ordinary mechanical skill or craftsmanship. In contrast, innovation is a broader concept: *Making Something New* via a process that is complex and has an uncertain outcome. The new creation can be generated by an invention; an idea to solve a problem or produce a gain or reduce a pain for a customer, an accidental discovery, e.g. post-it notes, Teflon (non-stick pans) or Velcro.

The essence of innovation is change in three dimensions:

- (1) **What is Changed?** In the organization's products/services or production techniques and business models used to deliver these products/services.
- (2) **What is the Perceived Size of the Change?** The degree of newness in the change in products/services and processes, i.e., incremental, intermediate, or breakthrough.

- (3) **What is the Frequency of Change?** Occasional, frequent, or continuous.

A. Types of Innovation

There are three types of innovations, which differ by the size of "newness" relative to the *status quo*:

- **Incremental:** "Do what we do, but do it better".

Incremental innovations generate "small" improvements in existing technology (products/services and production processes) and business model components. Usually, these innovations involve routine (well-understood) continuous process improvements in the core business.

- **Intermediate:** "Something that is New to the organization in either the Technology or Business Model by NOT both".

Intermediate innovations seek to **EXTEND** the core business by creating new opportunities using either NEW components of the existing business model, e.g. trying a new distribution channel, or selling a NEW product/service to existing customers.

- **Breakthrough/Radical:** "Do something ENTIRELY different in both the technology and business model.

An entirely new technology (product or service, process) is developed. Or, an entirely new business model delivered in an entirely new way, raising new and unexpected



challenges to the company.

To fix ideas, the Innovation Classification Matrix below categorizes the three types of innovation by “measuring” their degree of “Newness” to both a Corporation’s existing Business Model and Technology. For example, incremental innovations make small, incremental improvements in either the corporation’s current Business Model or Technology or both. In contrast, a Breakthrough or Radical Innovation must deliver both a New Business Model and a New Product, Process, or Service.

intervention, success criteria can shift over time, and new competitors and products can arise. Finally, successful innovations are innovations that either increase revenue or reduce costs or do both.

II. CORPORATE INNOVATION CHALLENGES

The successful implementation of a corporate innovation strategy requires the collaboration of several stakeholders, each with their own obligations and resources. Consequently, the implementation of

A. Current Roadblocks: Time and Budget Constraints

Frequently, the implementation of a corporate innovation strategy faces resistance from mid-level (“silo”) management. This resistance arises due to the “real” roadblocks of time and budget constraints faced by the Silo Manager.

These constraints create a strong economic incentive for the silo manager—acting in a rational manner—to dissuade his employees from actively proposing and engaging in innovation projects. The reason is that the silo manager faces a conflict between monthly production targets and innovation activity. And, the consequence of this conflict is that employees are strongly discouraged to engage in innovative activity.

1. Time Constraints: Limited Employee Working Hours

First, the manager’s limited time resources (i.e., number of staff working hours/month) do not permit the manager’s silo to deliver the standard product/service when employees begin to allocate time to their innovation projects that are not linked to the primary output of the silo. In other words, the manager’s staff size (total hours of labour available per month) is of sufficient size to just barely meet monthly production quotas, e.g. tonnes of plastic resin produced per month. Thus, when an employee allocates time to “pet innovation project” (selected and approved by the C-level

TECHNOLOGY	BUSINESS MODEL	
DEGREE OF INNOVATION “NEWNESS”	NEAR TO EXISTING BUSINESS MODEL	NEW BUSINESS MODEL
NEAR TO EXISTING PRODUCT, PROCESS OR SERVICE	INCREMENTAL INNOVATION	INTERMEDIATE INNOVATION
NEW PRODUCT, PROCESS OR SERVICE FOR THE COMPANY	INTERMEDIATE INNOVATION	BREAKTHROUGH INNOVATION FOR THE COMPANY

In sum, managers need to be aware that the innovation process has several complexities: setbacks frequently arise, product development plans are overly optimistic, innovation team is restructured *via* external

the innovation strategy faces several real and potential roadblocks. This section lists these roadblocks in order to provide an appreciation of the difficulties encountered in the design of a corporate innovation implementation framework.



Innovation Committee), the plastic resin plant manager cannot meet the monthly production target.

Hence, the plastic resin plant manager has no economic incentive to foster innovation in his silo. In fact, to the contrary, the manager is acting rationally by discouraging innovation by the employees in his silo.

2. Budget Constraint: Who Should Pay for Innovation Projects?

The second resource constraint is the budget issue: who should pay for the resources required by the employee's innovation project? Should the money come from the budget of the silo (e.g., plastic resin plant) where the innovative employee works (which, again, creates silo manager resistance to innovation) or from the innovation programme budget, or a company-wide innovation fund?

If there is no link between the economic value generated by the innovation project and the measurement of the silo manager's performance—yet, the manager's silo budget is being used to finance innovation by his employee(s)—then the silo manager is again acting rationally by actively discouraging innovative activity.

B. Potential Roadblocks

Innovation teams employing the Lean Start-up methodology also face several potential road-blocks. For example:

- *Human Resource Policies:* which

hinder the formation of innovation teams composed of employees with different seniority levels or from different business units (silos).

- *Marketing Group:* refuses to allow any form of the company name/logo to appear on a Minimal Viable Product¹ or web site.
- *Legal Department:* raises concerns that Minimum Viable Products expose the corporation to customer law suits.
- *Sales Department:* objects to innovation teams engaging in customer discovery with existing or potential customers.
- *Finance:* insists on measuring the success of new product/service or business line based on first year's net income.

III. WHAT IS INNOVATION MANAGEMENT?

Innovation management is defined as the "art" of learning how to find the most appropriate solution to managing a four-step innovation process. The four steps and their key activities are:

A. Four-Step Innovation Process

1. Searching Phase: How can we find opportunities for innovation?

Key Activities: Identify and analyze relevant technological, market, and regulatory information ("signals") describing threats and opportunities for change in the business environment.

2. Selecting Phase: What are we going to do; why do we want to do it?

Key Activities: Select which signals to respond to on the basis of a strategic view of how the organization can best develop as well as the organization's core knowledge base (competencies). Formulate initial strategic innovation idea(s) that aim to improve business performance.

3. Implementing Phase: How are we going to make "it" happen?

In this phase there are four *Key Activities:*

- (a) *Acquire Knowledge and Resources:* Obtain the knowledge and financial and human resources needed to respond to the targeted signals. Develop initial strategic ideas into an innovation concept paper.
- (b) Use the resources to create something new through in-house R&D, or external R&D contract, licensing, and technology transfer. Either the "first draft" concept is forwarded to the next stage of development or returned to the concept stage where it may be abandoned or revised.
- (c) Transform the strategic innovation concept into a tangible innovation. Given the initial lack of knowledge, this is project management under uncertainty. Hence, requiring a great deal of flexibility in building and managing a project team. In addition to a tangible



innovation “product,” the initial market should be targeted and product launch preparations made.

- (d) Develop the internal user market (process innovation) or external customer market (product development). Provide post-sales customer support. For externally oriented innovation projects, the project team must gain an understanding of user needs in order to convert customer awareness to buying interest. For internally oriented innovation (e.g. incremental process innovation) resistance to change has to be minimized *via* communication, staff involvement and training.

4. Capturing Value Phase: How are we going to obtain the benefits from innovation?

Key Activities: Build the capability to sustain creation, adoption and diffusion of innovation. Economic (commercial) value can be captured by both formal methods (patenting) and informal methods (tacit knowledge-based production). The informal methods and complementary assets make it difficult for competitors to reverse engineer/duplicate and/or use the innovation. Also, capture technological and managerial learning from progressing through this cycle in order to expand the organization’s knowledge base and improve the management of the innovation process.

B. Innovation Management Tools: Business Model and Technology

To foster innovation, managers have six tools at their disposal, equally divided into Business Model innovation and Technology innovation.

1. Business Model Innovation Management Tools

- *Value Proposition:* Management can sell a new product or service, e.g. Amazon evolves from an on-line book seller to an on-line retail platform for other retailers, to opening its first “bricks and mortar” store.
- *Supply Chain:* Management creates a new approach to outsourcing, e.g. Microsoft relies on independent game developers to create apps for its Xbox gaming console.
- *Target Customer:* Developers of nutritional protein bars originally targeted athletes. Later, the company made slight changes to the ingredients, packaging, and advertising in order to sell to women customers (new customer segment) and increased sales dramatically.

2. Technology Innovation Management Tools

- *Product and Services:* Management can upgrade the technological functionality of an existing product or service, e.g. Apples’ i-Phone 6s 3-D Touch photo capability.

- *Process Technologies:* Management can adopt more efficient product manufacturing and service delivery processes, e.g. use of robots in the production of automobiles.
- *Enabling Technologies:* Management can adopt technology that enables the company to execute its strategy much faster, e.g., Walmart adoption of information management systems has significantly improved its ability to track vehicles/shipment and product movements.

IV. IMPLEMENTATION FRAMEWORK

We propose a modular implementation framework, whose modules span the entire innovation project life cycle:

- Idea generation
- Idea refinement
- Project selection
- Project monitoring
- Commercialization (where relevant).

The key feature of this framework is that it enables management to match the various types of innovation project models (*see* below) with the appropriate level of due diligence, financing and monitoring required by the project. For example, “small scale” projects requiring the effort and skill of only one person, and offering relatively immediate impact, are quickly vetted and financed. The



proposed framework is designed to address the following issues.

A. Framework Design Issues

The successful implementation of a corporate innovation strategy must resolve several fundamental issues, including:

- (1) What are appropriate organizational changes and economic incentives that can overcome or minimize mid-level management's resistance to in-house innovation programmes?
- (2) What additional employee and financial resources (in a back-up or "reserve team" capacity) are needed to complete a proposed innovation, when the original team members of an innovation project are "called back" to their silo by their immediate supervisor?
- (3) Who are the appropriate monitors of innovation projects, when the understanding of the project's progress and potential success requires significant engineering or scientific knowledge?
- (4) What are appropriate Key Performance Indicators (KPIs) for measuring the performance of both innovation projects and the innovation programme?

B. Four Innovation Project Models

Innovation projects can be grouped into four project models, varying by the scale of project. The models include:

- *Model 1:* Innovation Project = Idea + Individual Employee Motivation (aims for incremental, continue improvement in productivity and cost reduction on a small scale).
- *Model 2:* Innovation Project = Idea + Process (aims for repeatable innovation methodology applied to large scale projects involving minimal product redesign).
- *Model 3:* Innovation Project = Idea + Leader (aims for breakthrough project, e.g. blockbuster cancer drug).
- *Model 4:* Innovation Project = Idea + Team + Leader + Plan (aims for difficult innovation projects characterized by unexpected uncertainties)

The proposed innovation framework is sufficiently flexible to accommodate each model. That is, the framework recognizes that there is not a "one size fits all" life cycle for innovation projects that may differ by objectives, team composition, milestones, and resource requirements.

C. Project Life Cycle

Within the context of the Lean Start-Up methodology, each of the four project models share a common life cycle, as follows:

- Developing an innovation idea,
- Forming teams drawn from operating business units (silos);
- Refining the idea into a value

proposition for the targeted initial customer ("beachhead" customer);

- Designing experiments aimed to test hypotheses regarding customer pain/gain points;
- Developing a Minimum Viable Product that will meet the demands of the initial customer;
- Generating a scalable business model that creates and extracts value for both customers and the company;
- Conducting quick, approximate economic feasibility analysis comparing Lifetime Value of Customer (LTV) and Cost of Customer Acquisition (COCA), and finally;
- Commercializing the new product/ service or production process.

D. Framework Modules

1. Idea Generation (Ideation)

Companies can use a variety of techniques to stimulate creative thinking leading to the generation of innovative products, processes or services. One option is to use commercially available software programmes, such as the Kindling programme, to facilitate idea generation. This programme has several ideation modules: Technology, Organizational, Production Processes and Marketing.

2. Idea Refinement and Selection

Potential Ideas would be evaluated via the following criteria:



- Technical (Engineering and Scientific) Feasibility.
- Preliminary Economic Feasibility (based on unit economics): Lifetime value of Customer = approximately three times Cost of Customer Acquisition.
- Business Growth Opportunities (target IRR >30%).
- Results of Customer Experiments with the Minimum Viable Product iterations.

3. Project Monitoring

The Innovation Programme should maintain a pool of in-house experts/advisors who agree to serve as Project Mentors. Mentors must possess the required scientific or engineering knowledge. The Mentor reports to the Innovation Programme on the meeting of project milestones and reasons for slippage/delay, if any. The Innovation Programme enters into a Partnership Agreement with the Mentor's Business Unit, spelling out "compensation" to the Mentor's business unit in exchange for granting release time to the Mentor.

4. Commercialization

Revenue-generating projects could be commercialized in several ways:

- Spin-out of team into a new venture/subsidiary,
- Licensing of new innovation, or
- Enter into Joint Venture with outside company.

5. Performance Evaluation: Key Performance Indicators

Key Performance Indicators (KPIs) for both individual innovation projects and the Innovation Programme would be developed. For instance, new product development metrics would include:

- Average Time to Market for various projects (incremental innovation *versus* conceptual breakthrough).
- Average time to develop Minimum Viable Product.
- Number of successful product experiments conducted with beachhead market customers.
- Average length of cash-burn cycle (for revenue generating project).

Performance of the entire innovation programme would use such KPIs as:

- Corporation's hurdle rate (e.g. Internal Rate of Return) on innovation projects.
- Percentage of projects that achieved their sales goal.
- Ratio of successful projects to

total projects in the innovation portfolio.

E. Project Life-Cycle Modeling: Stage-Gate Flow Chart

The life cycle of a project is illustrated through a flowchart in which each life cycle stage is connected *via* a go-kill decision gate. A Stage-Gate system is a blueprint for guiding the management of innovation projects from initial idea to product launch and post-launch review.

The stage-gate flow chart is composed of stages and gates. A STAGE is a phase in the project lifecycle in which the innovation team gathers and analyzes data needed to make a go/kill project decision. A GATE is designed to weed out ("kill") projects with either limited commercial potential or projects that are being executed in an inefficient manner.

Each gate demarcates a "Go/Kill" decision point by innovation managers. Hence, each gate resides in-between successive stages in the innovation project lifecycle. Finally, each gate has three components:

Project stage	Decision gate
0. Discovery: Idea Generation	0. What idea(s) appear to be feasible from a scientific and/or competitive perspectives?
1. Identifying Most Promising Idea(s)	1. Does the idea(s) justify more research?
2. Building the Business Case	2. Is the Business Case sound?
3. Product Design and Planning (Production and Product Launch)	3. Should the project be moved to external testing?
4. Testing and Validation	4. Is the product ready for commercial launch?
5. Commercialization: Product/Project Launch	Post-Launch Review



Stage-Gate System: Exxon Research & Engineering

PHASE ONE: Basic Research Stages



PHASE TWO: Applied Research Stages



SOURCE: Cohen, L.Y. et al.(1998). "Gate System Focuses on Industrial Basic Research." Research Tech Mgmt, (41)4:3437.

- **Deliverables** – Results of the prior stage that serve as inputs into the gate project review process.
 - **Decision Criteria** – Performance metrics used to make the go/kill decision.
 - **Outputs** – Results of the gate review process, e.g., go, kill, hold, recycle, as well as a work plan listing the milestones and deliverables of the next gate.
- To fix ideas, the stage-gate process adopted by Exxon Research & Engineering is illustrated below. Note how Exxon uses a separate stage-gate sequence for the Basic Research and Applied Research phases of innovation.
- ### F. Management Structure
- The goal is to have the company adopt the decision making style of a lean, start-up venture. To that end, project go-no decisions would be vetted within one week's time of receipt by the appropriate decision-making body. More specifically, the implementation framework would be managed as follows:
- The company forms an Innovation Centre (IC), responsible for incubating ideas, forming innovation project teams, assisting project teams in the design of customer experiments, organizing Proof of Concept due diligence, project monitoring and project performance appraisal.
 - The IC is a combined incubator and Angel/Venture Capital-type Investment Committee.
 - The IC programme is overseen by an Innovation Committee consisting of representatives from the company's Board and C level executives representing all of the company's business units.
 - Innovation Team project requests are initially reviewed by the Business Unit from which the team is drawn. The team's proposal must be acted on within one week.
 - In the event that the Business Unit rejects the Team proposal, the Team can petition the IC Programme Leader for a second review. Again, the team's proposal must be acted on within one week.
 - If the IC Programme Leader also rejects the Team proposal, the Team can petition the Innovation Committee for a final review. Again, the team's proposal must be acted on within one week.
 - Once a Team proposal is accepted, the Team is assigned a Project Mentor. The Mentor reports to the IC on the meeting of project milestones and reasons



for slippage/delay, if any.

- The IC serves as the Fund Manager of the proposed Corporate Innovation Fund.
- The IC is responsible for the design and delivery of the incentive (reward) programmes. These programmes reward mid-level silo managers for accommodating employee innovation initiatives and supporting customer experiments. Likewise, for employees. The financial incentives are designed to further the company's strategic priorities and competitive advantages.

V. RESOLVING THE INNOVATION PARADOX: TWO RECOMMENDATIONS

Recall that innovation creates a paradox for managers: beneficial, incremental innovation activity hinders breakthrough innovation. In this section, we provide two organizational innovations for resolving this paradox.

A. Implementation: Bottom-Up Strategy

Our first recommendation is rather novel. Innovation Teams write their own innovation implementation processes, procedures and milestone targets, whenever the team needs a new policy not currently followed by an existing company business unit, e.g., HR.

One benefit of this bottom up

approach is that there is *NO NEED* to change any of the existing production-oriented policies, processes, incentives and performance metrics used by mid-level silo managers to increase shareholder value. Instead, new innovation policies, processes and milestone targets would be written on an "as needed" basis, generated by innovation teams as they developed their value proposition(s). The two sets of policies would then exist side-by-side, providing clear guidance to mid-level managers and employees, enabling them to simultaneously meet production obligations and innovation goals.

B. Financing Mechanism: Company Innovation Fund

As discussed earlier, innovation activity is hampered by the conflict between the silo manager's monthly production obligations and the need to spur innovation. One of the major causes of this conflict is competition for limited monetary and human resources. Hence, we propose a solution addressing the monetary budget constraint: an in-house Innovation Fund. The Fund would avoid budget fights—after an innovation project is selected—between the silo manager and the Innovation programme. The reason is that the silo manager's operating budget is *not* used to finance the innovation project.

The Fund would be financed by assessing an annual "Innovation Tax" on each Department's budget. The modest tax levy could be set at one

per cent of their net profits. The justification for the tax is that successful innovation generates economic benefits for every corporate employee by increasing profits, even though only a handful of employees have conceived and implemented the innovation. In short, successful innovation is a "public good" in economist's terminology—like national defence. Every citizen benefits from national defence. Yet, only a few citizens actively serve in the military.

The tax is a "stick"; the "carrot" is that Departments receive a financial reward—conceptually, a tax refund back into their annual budget—for actively encouraging and producing successful (profitable) innovations. In fact, the size of the tax refund may even exceed the Departments initial "tax".

The Fund provides the following advantage for the Innovation programme: budget disputes regarding who should pay for the innovation project costs are eliminated. An innovation project is financed by the Fund. Managers cannot claim that a specific innovation project is eating into their annual budget.

An additional benefit of the Fund is that senior management can encourage different types of innovation by varying the size of the tax refund. For example, production process innovations may be a company's best defence against its competitors. Hence, the tax refund (reward) for production process



innovation could be twice as large as that received by a worker's safety innovation project.

VI. DESIGNING INCENTIVES TO SPUR INNOVATION

A key component of the implementation framework is the incentive system since the company relies on human ingenuity to create and commercialize innovation. This section provides several recommendations on the design of incentives. Briefly, incentives are a management "tool" that induces desired employee motivation or action either through the threat of punishment ("stick") or promise of reward ("carrot").

A. Reward-based Innovation System

We recommend that the company should design and implement a Reward-based incentive system. The reason is that several studies have shown that employees are motivated

more by the chance of receiving a reward than the fear of punishments (Merchant and van der Steede, 2008).

An additional point to recognize is that some employees require Extrinsic Recognition—financial or corporate rewards (Hall of Fame)—in order to meet performance targets. Other Employees will meet performance targets based on Intrinsic Motivators like personal work ethic and professional pride in their efforts and successes. The major implication for managers is that companies need to provide immediate financial rewards as well as professional peer recognition and employee promotion rewards.

To be effective, a Reward-based incentive system should have the following characteristics:

- *Valuable*: rewards must be perceived as valuable.
- *Large Enough*: rewards must be large enough.
- *Understandable*: employees should have a clear

understanding of why a reward is given.

- *Timely*: rewards given shortly after performance have a greater impact than rewards given much longer after performance. Thus, rewards should be given as soon as possible after they are earned.
- *Reversible*: rewards must be reversible in case they are given by mistake.

B. Matching Innovation Projects and Incentives

How should corporate managers match innovation projects and incentives? The following table provides some guidelines.

Conclusion

Finally, we conclude with some humble words of wisdom for C-level executives charged with implementing a corporate innovation strategy. These words are in the spirit of the 10 commandments. Thou shall NOT do the following if you want to Encourage Innovation in a corporate setting:

1. Regard New Ideas with Suspicion.
2. Enforce cumbersome approval procedures, rules and regulations.
3. Pit departments and individuals against each other.
4. Delivery criticism without praise.
5. Treat problem identification

Incremental Innovation Projects	Radical Innovation Projects
Extrinsic Reward-based Incentive system (Precise Rewards designed prior to innovation project; well-defined target outcomes)	Intrinsic Reward-based Incentive system (based on subjective assessment post-project, since ill-defined target outcomes)
Cash-based compensation	Stock-based Compensation, Peer Recognition, Promotion
Formula-based Incentive Systems	Subjective Evaluation Indicators (heavily dependent on reputation, competence, and perceived fairness of the evaluator)
Performance Indicators very important determinant of compensation	Performance Measures play minor role in determining compensation
Outcome-based Performance Indicators are very relevant	Input and Process-based performance measures are more relevant
Team-based Performance Indicators very relevant	Company-level Performance Indicators very relevant



- as a sign of failure.
- 6. Control everything carefully (micro-manage).
- 7. Plan reorganization in secret.
- 8. Keep tight control over information.
- 9. Delegate unpleasant duties to “inferiors”/subordinates.
- 10. Assume you (C-level senior managers) know everything important about the business.

NOTE

1. According to Eric Reis (2009), “*The minimum viable product (MVP) is that version of a new product a team uses to collect the maximum amount of validated learning about customers with the least effort.*” The essence of the MVP concept is that the product has just enough features to elicit accurate data from potential “first customers” about the product and its continued development path. The goal is to minimize the time and monetary costs and effort of developing “failed” products/services due to faulty assumptions about your target market and customer’s requirements.

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Emerging Global Business Environment and the Role of Indian Economy: Some Reflections

Vinayshil Gautam

During the preceding few decades the world economies have undergone significant transformation from an almost a totally production based value system to an intellectual and skill based value system. This has made more complex a research domain in economic studies, where traditionally, the excessive emphasis has been on 'quatum of investment' rather than how good was the return on that investment.

Further, even though in the same period many political boundaries have disappeared the more significant development has been the business boundaries disappearing. New elements have appeared on the scene such as convergence redefining many industries. Cross business movement are not only discernible, but also reshaping financial sector. Illustratively, retailers have moved into financial services. One may refer to a whole specialization that has developed in the name of 'retail banking'. Sainsbury Bank, as some would point out, may be cited as an example of how knowledge management of brand, customer and convergence trends can lead to a new revenue stream and attendant corporate growth. The examples can be multiplied.

The time has come to look at the past experiences for better possible solutions for the future.

UNDERSTANDING 'ECONOMIC SUPER POWER'

The terms 'superpower' whether economic, military or any other has gained currency because of the perception that there is a gradual shifting of the economic fulcrum from the Atlantic rim countries to Asia. Fox (1944) coined the term superpower distinguishing a nuclear 'superpower' of twentieth century from a nineteenth century 'great power', in terms of power of ultimate destruction and the strategic doctrine of nuclear deterrence. Subsequently, the globalization process helped shape significantly the character of twenty first century. It emphasized that to be a superpower means more than just nuclear capability.

With globalization, the economic power emerged as one of the determining factor of becoming a nation with superpower (Bull, 1977). Therefore, a status of 'economic superpower' is, in some senses, very conducive to any country for influencing global governance

processes. There are certain factors that drive the creation and maintenance of superpower, e.g. a capable labour force, education in the sciences and technological competence, standing of the currency concerned. As an illustration, it is apparent that India and China, since last two decades, have been focusing on science education and developing technological competence. Both India and China are leading countries in the world in terms of producing qualified engineers and technicians. At the same time, United States has been facing stiff competition from the two countries on this front and therefore, centre of world economic power seems to be no longer as constant as it once appeared to be. The Global Competitiveness Index (GCI) indicates certain areas of global competitiveness that to an extent can be considered as the companion of economic superpower status. The GCI categorizes the economies on certain dimensions of competitiveness:

1. Key for factor driven economies (Institutions, Infrastructure, Macroeconomic environment, Health and Primary education).
2. Key for efficiency driven



economies (Higher education and training, Goods market efficiency, Labour market efficiency, Financial market development, Technological Readiness, and Market size).

3. Key for innovation driven economies (Business sophistication and Innovation).

RELEVANCE OF INDIA AS A POSSIBLE ECONOMIC SUPER POWER

In twenty-first century India, arguably, matters more than many other nations. It is on its way to be the most populous nation country comprising almost 20 per cent of humanity. It is long since one heard of any serious reference to population stabilization in any civil discourse in India. Rapid widening of economic inequalities in major economies of the West as well as in the emerging markets such as that of Brazil, India or China have significant demographic over tones.

The rising population of the senior citizenry, say, in Japan and the insistence on numerical age related retirements in developing countries have seminal overtones with for skill formation and skill availability. With rising longevity and shortage of institutions of creating sustainable and relevant skill formation, there is an impending crisis of growth and development which cannot be ignored.

If India continues to confuse its battle on poverty with unrelated social categories the challenge to India

becoming economic super power will only grow more emphatic. When this is coupled with corruption, inflation and 'drainage of cash' to other economies the intensification of the malaise is easy to see.

Today, globally, the return on financial capital is far richer than return on human capital or even productivity. Hence, finance has acquired a character and one could almost say a personality quite unprecedented in human history. It will be worthwhile reminding ourselves than inequality can be a impediment in growth in many subtle and so subtle ways.

CULTURAL CONTEXT OF INDIAN ECONOMY

Economic development is promoted or inhibited by the long or short-term view of individual and society. Indeed going beyond India, not many refer to the seminal role that Asian discoveries have had over Western science. Reference may be made, amongst other things, to the Asian contribution to mathematics; printing; gunpowder; compass and more. It could be interesting to explore alignment of economic growth and development factors in the context of cultural values.

Culture far from being a constraint, has become a key resource and a significant variable in the success of developmental interventions. Indian exhibits significant degree of conformity, emotional self-control and collectivism values. The challenge is to find a way to

incorporate cultural factors into policy and business models. Culture does play a role in exchange, savings, and investing, which are fundamental to economic development. Culture influences economic behaviour in different ways including:

- through organization and production;
- through attitudes towards wealth and work;
- through the abilities to create and manage institutions; and
- through the creation of social network.

An interesting feature of Indian economy is that Indian entered into the tertiary sector from primary sector, and subsequently, the tertiary sector facilitated the secondary sector growth. On the other hand, the secondary sector does not enter either of the other sectors. It is a debate whether services may emerge as the engine of economic growth in the future (Dasgupta and Singh, 2005; Balakrishnan and Parameswaran, 2007).

INDIA EMERGING AS AN ECONOMIC SUPER POWER: SELECT CHALLENGES

1. Qualitative improvement in health and education.
2. Reducing the Socio-economic inequalities.
3. Large budget and balance of payments deficit.
4. Labour laws needing an update.



5. Agricultural reform.
6. Revival of the investment cycle.
7. Restructuring for faster decision-making (e.g. faster clearances of projects).
8. Building confidence for private participation.
9. Addressing sectoral bottlenecks (e.g. railway connectivity to mines, PPP framework for roads).
10. Effective coordination between monetary and fiscal authorities.
11. Improving centre-state dynamics.
12. Demographic dividend verging on becoming a nightmare.

INDIA EMERGING AS AN ECONOMIC SUPER POWER: SELECT OPPORTUNITIES

1. India emerging as global ICT leader.
2. R&D investment of Fortune 500 companies in India.
3. Emergence of a significant educated middle class and youth.
4. Growing competitiveness of Indian industry leading to improved efficiency and quality.
5. Large domestic demand for industrial goods.
6. Increasing presence of world class firms such as the Deming award winners.

7. Availability of relatively low-cost, skilled manpower.
8. Overseas investment and acquisition by Indian Firms.
9. Policy thrust on economic and labour reform.
10. Huge export opportunity gap to fill.

ADDRESSING THE CHALLENGES AND CAPITALIZING ON THE OPPORTUNITY: SOME ISSUES

Inclusivity in Indian Economy

The economic and social disparity in terms of regional, rural-urban, social class or gender has been aggravating. Though various steps have been taken by different agencies, the inclusivity of the policy has to be tested on various socio-economic indicators (Kurian, 2007). For example, the resource allocations, capacity building, improvements in public systems could be the key concerns for inclusive growth in India. Not just the policy, but also the public systems may have to undergo a systematic structural reform to put in place and strengthen the systems and processes to facilitate effective inclusion of the large groups at the bottom and middle of the pyramid. This has to be done appreciating the limitations of trickle down theory and focus on the contextual realities.

Understanding Regional Context

India is slowly shifting from centralized policy planning to more decentralized policy frame. However, the nation is still far away

from factoring in and accommodating regional and local realities in the decision making process. The focus should, also, be on the local policy and institutional environment to ensure consistent growth. Understanding the defining elements of a particular environment are important. This is a seminal input to designing public policy to encourage growth (Aghion *et al.*, 2006). The benefits of FDI have to be maximized by improving local conditions. The promotion of local entrepreneurship and human-capital development could help foster linkages within and across sectors.

Cultural Sensitivity

Cultural sensitivity is emerging as a key element in economic policy decision making. With liberalization and opening of the economy, more and more firms from different countries enter the industrial world of work. Therefore, as exemplified by Indian telecom sector, the scope of expanding margins is becoming an increasingly challenging task. This is where cultural understanding, also, helps in developing differentiation strategy. Indian preference for hot breakfast affected the success of Kellogg's marketing plan in India. It is also found that economic and cultural proximity between the home nation and host nation favour successful entry into emerging markets.

Foreign Direct Investment

It is argued that higher growth leads to more FDI, rather than *vice versa*.



At the same time, the composition and type of FDI appears to be changing in India. In Indian context, the foreign investors are increasingly interested in technical collaborations (Athreye and Kapur, 2001; Chakraborty and Basu, 2002). The favourable growth effects of FDI are largely emphasizing the manufacturing sector, where FDI stocks and output are mutually reinforcing in the long-run. Output growth in manufacturing has, also, been stimulated by FDI. FDI in the services sector also has shown strong growth potential.

Sustainability

There is risk in obsession with constant pursuit of double digit growth and competition with other

developing economies, especially at the cost of social development. It is true that high growth generates better jobs and the income for government to invest in social development programmes, but their equitable distribution on economic parameters remains a challenge. There are many cases that shows that high growth may not necessarily result in a direct rise in gross national happiness.

There is a case for investigating newer models of development which place value on and manage knowledge resource from all personnel, to patents and intellectual outputs created by those who participate in the value additive process. Even the content of knowledge management is an

evolving one. At one point of time it had to with, say, silk (from India) or ceramics (China). Now, the element of technology has gone up. The traditional assets are such as capital, labour, land seem to yield primacy to intellectual assets. That is potential hope area for India.

Governance remains a key issue and managing development calls for looking beyond a far richer repertoire than what exclusive focus on economic variables can provide. If governance is the process by which the public affairs of a given people are managed, then the challenge also is of coming to grips with the rhythm and rhyme of economics, management and culture, as a unified trinity.

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Paper

based either on empirical research experience or with a high level of conceptualisation. They should preferably relate to different facets of management/comparative management/human resources development.

Reviews

of books on management, social and organisational management, human resources management and related disciplines.

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1. The Manuscript should be prepared on computer using preferably MS Word/Word Pro/Amipro and be submitted in an electronic storage medium with two hard copies on A4 size paper.
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3. Number of text pages should appear in the upper right-hand corner.
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5. Footnotes or endnotes and expanded list of abbreviations used in the text should be typed on a sheet separate from the text.
6. Each table or graph should be placed on a separated page and their suggested placement within the text should be highlighted by a text reference.
7. The manuscript should be well wrapped and be sent by an express courier service with a back-up copy to be retained at the author's end.

II. Select Guidelines	Examples: to be avoided	Examples: to be used
A. Apostrophe		
8. Apostrophe mark indicating omissions in contractions made of two or more words and in contractions of single words	(i) wasn't (ii) dep't	(i) was not (ii) department
9. Apostrophe mark used for the omissions of digits in numerals	90's	nineties
B. Comma		
10. Commas setting off transitional words and phrases	(i) The second report on the other hand shows a strong bias (ii) He visited three countries namely France, Spain and Italy. (iii) Metal, food products, leather and leather products and wood and wood products. She talked in a calm reflective manner	(i) The second report, on the other hand, shows a strong bias (ii) He visited three countries namely, France, Spain and Italy. (iii) Metal, food products, leather and leather products, and wood and wood products. She talked in a calm, reflective manner
11. A comma is used to separate two or more adjectives, adverbs or phrases that modify the same word or phrase.		
12. Commas indicating the year in a full date	on July 26, 1992	on July 26, 1992



II. Select Guidelines	Examples: to be avoided	Examples: to be used
13. Commas indicating only month and year	in December 1998	In December 1998,
14. Comma used to group numerals in the units of three to separate thousands, millions, and so on	3450000	3,450,000
C. Hyphen		
15. The use of hyphen to link elements in compound words or two nouns together or when the first word ends with letters 'ty' or two adjectives together except when followed by man, woman person or people	(i) Coast effective (ii) Forty second street (iii) Secretary treasurer (iv) The long lasting effect (v) State of the art (vi) Spokes person	(i) Coast-effective (ii) Forty-second street (iii) Secretary-treasurer (iv) The long-lasting effect (v) State-of-the-art (vi) Spokes-person
16. The use of hyphens in separating a prefix or suffix from the rest of the word	Anti inflation	Anti-inflation
17. The use of hyphen between units of measures or terms of ratio	(i) Cost/benefit analysis (ii) 1996/97	(i) Cost-benefit analysis (ii) 1996-97
D. Capitals		
18. In case of heading or subheading, the first letter in all the words are capitalised	Production function	Production Function
19. The names of some historical and cultural periods, and movements are capitalised	Bronze age	Bronze Age
20. Century and decade designation are normally lower cased	The Twentieth Century	The twentieth century
21. Full names of specific treaties, laws and acts are capitalised	The bill of rights	The Bill of Rights
22. The names of races, varieties or subspaces are lowercased and italicised. However several Latin terms like i.e. are punctuated, preceded and followed by comma	(i) Otis Asio Navius (ii) e.g.	(i) Otis asio navius (ii) e.g.,
23. Common titles of book sections (such as, preface, introduction, appendix or index) are usually capitalised when they refer to a section is made	See the appendix for further information	See the Appendix for further information
E. Abbreviations		
24. Abbreviations are generally avoided in case of common words or names	Oct	October
25. Names of the countries are usually spelled in full in running text	U.K.	United Kingdom
F. Numbers		
26. All figures need to be expressed in terms of millions	Rs. 5 crore	Rs. 50 million
27. Numbers that begin a sentence are written out	1995 was the best year of SIDBI	Nineteen ninety-five was the best year of SIDBI
28. Approximate or round numbers, particularly those that can be expressed in one or two words are often spelled in general writing except in case of technical and scientific writing	700 people	Seven hundred people



II. Select Guidelines	Examples: to avoided	Examples: to be used
29. Ordinal numbers (except percentiles and latitudes) generally followed by styling rules for cardinal numbers	Please write the 9th chapter	Please write the ninth chapter
30. In case of separating inclusive Numbers	The decade 1980 to 1989	The decade 1980-89
31. In case of separating inclusive numbers separated by words from or between	Between 1980-89	Between 1980 and 1989
32. Inclusive dates that appear in titles and other headings are almost never elided	1980-89	1980-1989
33. Inclusive numbers when the first elided number ends in 00 are never elided	100-3	100-103
34. In case of writing a number to indicate an event	Class of '91	Class of 1991
35. All figures dating should be avoided	6-8-95	August 6, 1995
36. References to specific centuries need to be written out	In the 19th century	In the nineteenth century
37. Fractions standing alone need to be written out	Lost 3/4 quarters	Lost three-Quarters
38. In case of writing the currency, specification is required for the respective country	\$50	U.S. \$50
39. The word percent which is a single word should replace the symbol	10%	10 percent
40. Ratios are generally expressed in figures, with the word to	a 3:1 ratio	a ratio of 3 to 1
G. Notes and Bibliographies		
41. In Bibliography, the author's name come first in inverted manner which forms the basis for alphabetization followed by names of coauthors (if any) in normal order. a period follows the final name. This is the way it should appear in the text also.	N. Venkat and R.K. Das	Venkat, N., and R.K. Das
42. The title of the book or journal is italicized with headline-style capitalization	N. Venkat and R.K. Das Technology Study for SSIs	Venkat N., and R.K. Das <i>Technology Study</i> for SSIs
43. In case of an edited book the name of the editor follows the title	Venkat, N., Technology Study for SSIs ed. R.K. Das	Venkat, N., <i>Technology Study</i> for SSIs, Das, R.K., ed.
44. If no author is listed, the name of the editor is placed first followed by a comma and ed.	R.K. Das (ed)	Das, R.K., ed.
45. If the book is a part of the series the series name should be included as well as the volume no., if any	N. Venkat and R.K. Das Technology Study for SSIs	Venkat, N., and R.K. Das <i>Technology Study</i> for SSIs. SIDBI Report's Series
46. In case of references to publication, the city of publication, the name of the publisher and the year of publication follow in that order	N. Venkat and R.K. Das Technology Study for SSIs. SIDBI Report's Series. 1999. MacMillan, New Delhi	Venkat, N. and R.K. Das <i>Technology Study</i> for SSIs. SIDBI Report's Series, New Delhi, MacMillan, 1999



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