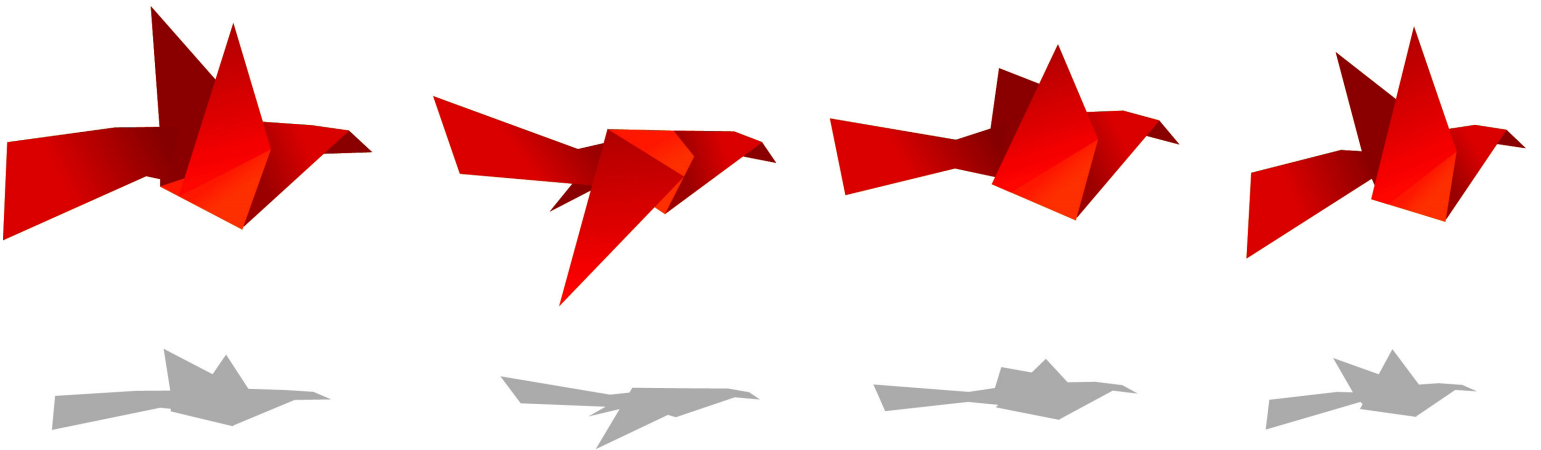


bates

Introducing the Bates ExPI™ and Model of Executive Presence



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Developing the Bates Executive Presence Model

The Bates Model of Executive Presence is the first-ever comprehensive, research-based model of executive presence and influence. Here are some quick facts about its genesis:

- We spoke with senior line executives and HR executives to understand their ways of talking about Executive Presence, their reasons for caring about it, and the context of business and leadership challenges within which it becomes a critical factor.
- We also interviewed consultants whose practice focuses on helping executives unleash their potential to lead and to cultivate exemplary skills in communicative leadership—we wanted to learn from their experience too.
- We found a common theme: *Executive Presence becomes most noticeable when leaders take the “larger stage,” when their presence and approach to influence must generate inspired and sustained action across a network of stakeholders, and when they must help all navigate change and master increasing levels of challenge.*
- This helped us realize that Executive Presence is a **social-organizational phenomenon**: it manifests as a pervasive and positive tone; it produces high levels of trust and goodwill; it stimulates the best of creative, innovative, and prudent thinking and problem solving; and it fosters a sustained course of adaptive execution.
- We hypothesized that Executive Presence must be equal parts **Character** (qualities of presence that inspire trust and goodwill), **Substance** (cultivated aspects of development specific to executive leadership that manifest as credibility), and **Style** (timely, effective, and iterative leadership action that elevates performance) – **all of it as seen by others.**
- Knowing this, we cast our net widely and built a model based on an **extensive review of related areas of theory and empirical research**, including *management, psychology, communications, social action theory, and practical philosophy and ethics.*
- The facets of the model (viewable on page 4) are variables known to be associated with leadership that promote **engagement, alignment, and performance**; they do so by arousing above-and-beyond effort and by fostering more timely and effective coordination of action.
- To validate our research findings and model construction, we solicited the independent inputs of an **expert panel of management psychologists**, all with 15+ years of practical experience in executive development and assessment:
 - They found the model (page 4) to be conceptually comprehensive and sound.
 - They helped us groom a large pool of assessment items down to the few best items.
 - This resulted in an assessment tool with strong content validity (measuring the “right stuff”) and very good reliability (consistent measurements across people and situations).

The Three Dimensions of Executive Presence

Through our research, we determined that executive presence is a three-layered phenomenon. Its outermost layer is **Style**, the overt manner in which we engage, interact, and express ourselves. The next layer, a bit deeper, is **Substance** - the depth of our thinking, the richness of our vision, and the quality of our judgment. These are qualities of adult development specific to the role of executive leadership. Finally, the innermost layer is **Character** - the most foundational and person-based qualities that anchor our values and define who we are as people.

Here are some additional important things to understand about executive presence:

- You can get beyond “I know it when I see it.”

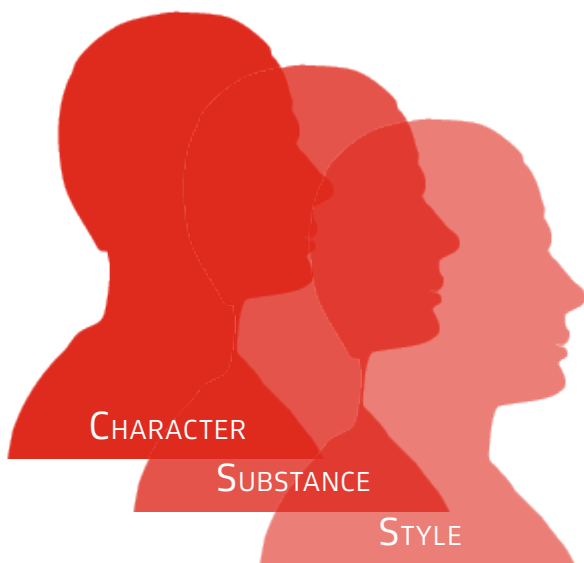
People know that executive presence matters, and they often know it when they see it... but articulating what “it” is has proven difficult for many. We set out to change that.

- Executive presence is measurable.

Executive presence can be measured... IF you have a robust model... IF its constructs and variables are clearly defined... IF the model and variables are rigorously operationalized in an assessment tool... and IF the assessment tool proves to be valid and reliable.

- Executive presence can be mastered with time, effort, and coaching.

How a leader’s important stakeholders perceive that individual’s executive presence can change over time—for better or worse—depending on how a leader and the situation change. Investing time and effort into developing the right facets of executive presence and being open to receiving expert assistance are key predictors of leadership and business success.



The Facets of Executive Presence

Executive presence is a complex, multifaceted phenomenon, which is why so many have struggled to define it. To address this, we built a model of executive presence based on research in multiple disciplines. Basically, the three elements of executive presence can be further broken down into 15 “facets,” as shown in the visual below:

Dimensions of Executive Presence

Dimensions of Executive Presence		
Character - qualities that are fundamental to the leader as a person, to his/her identity, and give us reason to trust him/her.	Substance - cultivated qualities of mature leadership that inspire commitment, inform action, and lead to above-and-beyond effort.	Style - overt, skill-based patterns of communicative leadership that build motivation and that shape and sustain performance.
Authenticity – being real, genuine, transparent, and sincere in one’s relations and interactions with others.	Practical Wisdom – displaying highly honed qualities of insight and judgment that get to the heart of issues and produce prudent decision.	Appearance – looking and acting like an able executive, adapting dress and demeanor to the situation, and handling social situations with tact.
Integrity – acting with fidelity to one’s values and beliefs, living up to high standards of morality, veracity, and promise keeping.	Confidence – being self-assured in decision-making and action; ready to accept the risk and responsibility for taking timely action.	Intentionality – clarifying direction and keeping actions aligned and on track, all without stifling dissent or neglecting needs to adjust course.
Concern – demonstrating interest in others, encouraging adaptive development, and promoting a healthy sustainable culture.	Composure – proving to be steady in a crisis, able to calm and focus others, and to bring objectivity and perspective to critical decisions.	Inclusiveness – actively involving others, welcoming diverse points of view, encouraging ownership in mission, and empowering initiative.
Restraint – displaying a calm disposition, characterized by reasonableness and by avoidance of emotional extremes or impulsiveness.	Resonance – connecting with others; attentive, attuned, and responsive to feelings, motivations, and thoughts; deepening alignment.	Interactivity – promoting an interpersonal style of dialog and timely exchange of information and questions to coordinate action.
Humility – showing awareness of one’s strengths and weaknesses, an openness to others, and a belief that all persons have worth.	Vision – generating an inspiring, enterprise-wide picture of what could be; recognizing emerging trends, and engaging all in strategy.	Assertiveness – speaking up, valuing constructive conflict, and raising issues directly without shutting others down.

Facets of Executive Presence

Bates Executive Presence Index (Bates ExPI™)

While the Bates Executive Presence Model could be used for a variety of purposes, our first endeavor was to use it as a basis for creating the Bates ExPI™, the first multi-rater assessment of executive presence specifically designed for use with senior executives and those with high potential for such roles. Here are some highlights on this novel and well-validated assessment tool:

- It's a multi-rater assessment, which includes self-ratings and ratings from other stakeholder groups (Supervisor, Peers, Direct Reports, and Specified Others).
- As such, it's specifically designed to capture stakeholder perceptions of an individual leader's presence and impact.
- The comparison is made using a common questionnaire so that patterns of convergence or divergence are easily identified.
- It includes a total of 90 Items—six items for each of the 15 facets. Each of these items is rated on a Likert Style, ranging from “Strongly Agree” to “Strongly Disagree.”
- It also includes three open-ended questions, where respondents can describe in their own words what enhances or detracts from the leader's presence and impact as well as any changes they would recommend.
- A detailed report is produced and provided to the feedback recipient, showing:
 - Self versus rater groups, broken out by facet
 - Variability within and between groups
 - Highest and lowest-rated items by rater group
 - Self versus rater groups for all 90 items by facet
 - Summary of responses to open-ended questions
- We provide feedback recipients with a developmental summary worksheet and a user's guide to help them analyze their results systematically as preparation for an in-depth feedback and interpretation session with a coach.
- We conduct a preliminary call to better understand the feedback recipient's business context prior to the feedback session. Doing so helps link the clients' results to their real-world leadership challenges (the “relevance factor”).

Sample Items for Executive Presence Facets

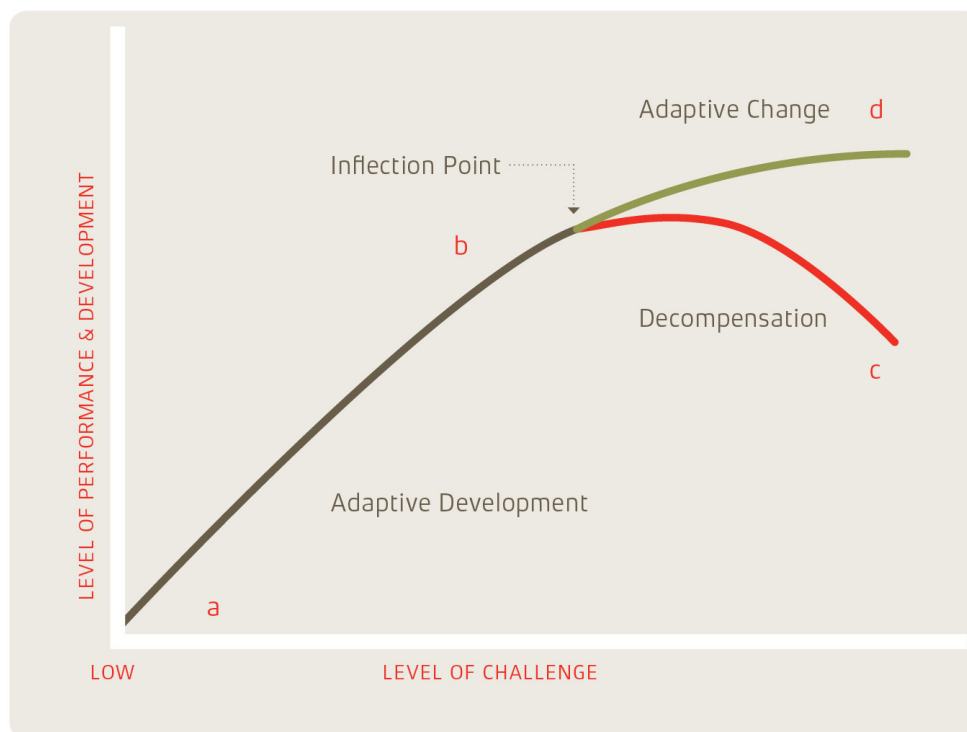
Facet	Sample Items	
Character	Authenticity	“Sincere, I can take what he/she says at face value.”
	Integrity	“Walks the talk on values of honesty, promise-keeping, and fairness.”
	Concern	“Genuinely cares about people as individuals.”
	Restraint	“Others find that his/her deliberative style clarifies their thinking.”
	Humility	“Believes that all persons deserve respect, all colleagues deserve to be heard.”
Substance	Practical Wisdom	“Always seems to be one or two steps ahead in thinking things through.”
	Confidence	“Self-assured enough to invite and consider dissenting views.”
	Composure	“Frequently a source of stability when others are flustered.”
	Resonance	“Fully present and attentive when engaging with others.”
	Vision	“Paints a vivid and compelling picture of what could be.”
Style	Appearance	“Does not show up looking fatigued, poorly dressed, or unprepared.”
	Intentionality	“Keeps meetings on track without being heavy-handed or authoritarian.”
	Inclusiveness	“Broadens the circle of relevant stakeholders in key decisions.”
	Interactivity	“Prefers that regular communications be direct, timely, and interactive.”
	Assertiveness	“Does not shy away from making his/her opinions, views, and reactions known.”

The Challenge Development Curve

The Challenge-Development Curve is one way to portray the effects of highly demanding challenges on our capacity to function. This curvilinear phenomenon is just as true for intellectual coping as it is for emotional coping. We all have limits.

The basic idea here is that the increasing levels of challenge associated with stretch assignments or organizational change stimulate learning—up to a point. At this “inflection point,” further increases in the challenge level may overwhelm us. Under a high level of stress and strain, we may experience “decompensation.” Instead of feeling the exhilaration of challenge and the satisfaction of development, we may feel less confident—and more tired and irritable.

But this is not inevitable. If we understand this curve as well as the critical inflection point, we can anticipate the problem—recognizing the early warning signs of decompensation. If we do, we can seek out support resources and intervention that will lead us to “adaptive change” instead of decompensation. With this timely assistance, our development can continue—even in the face of increasing challenges.



Complementing and Completing Existing Models

Most organizations have some sort of existing leadership competency model. The Bates Executive Presence Model is not meant to replace these models; it is built to complement and complete them. Here is an example of how the model was successfully mapped to the leadership competency model of one of our clients.

Company X Leadership Competency	Bates Executive Presence Facets
<p>Build the Future Ensure that our corporate strategy is understood and that all of our goals and activities are aligned with its imperatives: articulate vision; sustain focus on right outcomes; and identify risks to stakeholders and initiate risk mitigation strategies.</p>	<p>Vision: paints vivid enterprise-wide picture and engages all in strategy, and makes even daunting goals seem exciting, realistic, achievable. Intentionality: sets direction and explains rationale, sustains and aligns action, and recognizes need to make timely course corrections. Interactivity: promotes timely exchange of information/ideas/questions, coordinates action, and quick to notice barriers to interaction.</p>
<p>Leverage Human Capital Actively commit to developing self and others to drive competitive advantage achieved through a diverse, engaged, and mobile workforce: personally develop talent; challenge others to create diverse and inclusive work groups; and highlight the link of engagement to profitability.</p>	<p>Concern: takes active interest in development of others, encourage others to experiment, trust themselves, try new things, and promotes sustainable human organization. Humility: recognizes he/she does not have all the answers, open to ideas and other points of view, and believes all persons deserve respect. Inclusiveness: actively involves others, encourages ownership and empowers initiative, and recognizes that inclusion implies tolerance for different ways of doing things.</p>
<p>Influence Courageously Inspire and motivate others to drive and sustain Company X's success even in the face of resistance or challenge: challenge organization to consider different perspectives; champion win-win outcomes when negotiating; and seek to understand others and find common ground.</p>	<p>Practical Wisdom: practical quality of insight and judgment, gets to the heart of the issues and balances stakeholder interests, and always seems to ask the right questions. Resonance: connects with others, attentive and attuned to thoughts, feelings, motivations, and helps other find common cause to accomplish challenging goals. Assertiveness: speaks up, values constructive conflict, raises issues directly without shutting others down, and believes we can disagree without being disagreeable.</p>
<p>Work Together for Results Exceed expectations by working together to accomplish our goals: not in siloes, work with other leaders; organize corporate-wide solution teams; create collaborative conditions that facilitate change; and share resources to achieve corporate goals.</p>	<p>Authenticity: displays ability to be real, sincere, and open in sharing the experience, values, and beliefs that shape his/her point of view. Integrity: walks the talk on values, promise keeping, and fairness, and can be counted on to do the right thing even if it comes at a personal cost. Confidence: self-assured enough to invite and consider dissenting views, and ready to accept risk and responsibility for taking timely action.</p>