

INSPIRED BY THE WORK OF NEW YORK TIMES BEST-SELLING AUTHOR
AND HORSE WHISPERER MONTY ROBERTS

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HORSE SENSE FOR LEADERS: BUILDING TRUST-BASED RELATIONSHIPS

By Dr. Susan Cain and Debbie Roberts-Loucks
Foreword by Monty Roberts

HORSE SENSE FOR LEADERS: **BUILDING TRUST-BASED RELATIONSHIPS**

By Dr. Susan Cain and Debbie Roberts-Loucks with Monty Roberts

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TABLE OF CONTENTS

Introduction by the Authors	4
Foreword by Monty Roberts	7
Preparing for a Better Reading Experience: About Monty's Ground-Breaking, Game-Changing Join-Up Training	10
Spot Light on Join-Up: Co-author Debbie Roberts- Loucks Interviews Monty Roberts on the Gift of Join-Up	11
Chapter 1: A Transformational Leadership Story: Monty Manages Change, Encounters Resistance, and Overcomes Setbacks in Brazil	13
Chapter 2: The Four Practices of the Trust-Based Leadership Model	26
Chapter 3: The Need for a Trust-Based Leadership in an Unpredictable World	36
Chapter 4: Towards a Deeper Definition of Trust	40
Chapter 5: The Four Trust-Based Leadership Practices: Be Authentic	49
Chapter 6: The Four Trust-Based Leadership Practices: Setting Clear Expectations and Consequences	61
About the Authors	76

To read chapters 7 through 10, contact author Susan Cain for ordering information. Details available on page 74.

Introduction

We wrote this book to be useful on three fronts: to define and examine the nature of trust, to look at the implications for managing and leading others at work, and to offer specific ways to grow into a more trusting and trustworthy leader. But we are approaching this in a unique way.

We are using a live case study featuring a leader who has carved a career as an entrepreneur, who continues to work full-time as a hands-on expert into his late 70's, and who has led one the most massive, largely unpublicized cultural transformations in the history of horse training.

That man is the *Horse Whisperer*, Monty Roberts, *The New York Times* bestselling author who has quietly influenced the way that many have come to think of training horses.

Through his first book, *The Man Who Listens to Horses*, Monty launched an international debate about the role that violence plays in training horses. His message has stretched across the globe, but the beginnings of his discoveries date back to his childhood.

Monty is the original *Horse Whisperer*. He was there before the movie, *The Horse Whisperer*, was made, before the plethora of current Horse Whisperers crowded the market, even before the Queen of England discovered his work. Once Her Majesty discovered Monty's violence-free horse training philosophy, she made sure the word got

out to the rest of the world. “You must write a book,” she admonished him when he offered to write his concepts down in a video or simple training manual. “Video’s and manuals go away, but a book is forever.”

As hard to believe as this is, Monty has not focused his time on monetizing his concepts and influence as much as he has focused on teaching and applying them to his growing global client network. As refreshing, humble, and honorable as that is, it’s not why we chose to focus on Monty as a core case study for this book.

Monty Roberts has articulated a strong case for putting trust first in the process of building horse and human relationships. This has become his all-consuming passion; and he works non-stop, 365 days of the year, promoting the cause at home and abroad. New generations have rediscovered his first book, *The Man Who Listens To Horses*, about Monty’s successes and failures as he developed his career and became a respected leader.

As the work world advances into a time with the most diverse workforce in history, facing the most complex information age of all time, there exists a core concern: what type of leadership is needed?

One answer can be found by looking at the needs of the next generation of leaders. Young developing leaders are coming into their roles incredibly well-equipped in technical and functional skills. But many of them need an accelerated course in how to manage, influence, partner and collaborate with people.

That's where Monty comes in. He not only offers a real-life example of what a trusting and trustable leader is within his own organization, he teaches trust all over the world.

His primary work is with horses, that's true, but a large part of Monty's impact has been on people. In 2011, Monty traveled to London to receive a special award from Her Majesty, Queen Elizabeth II; he received an acknowledgement for his contributions to ending violence in training practices with horses.

That award was the M.V.O., *Member of the Royal Victorian Order*, a result of Monty's work on behalf of the Royal Stables. Her Majesty's statements included an acknowledgment of Monty's work globally with people as well as horses. The Queen has been outspoken in her support of his nonviolent message for horses and for people, too. From this point forward, Monty will be known as Monty Roberts, M.V.O.

This transfer of concepts to humans keeps echoing back from his work with horses.

This is what we paid attention to during our study of leadership.

We offer, through Monty's own work and the applicable work of others, a different way to understand the value of trust in the workplace. We hope that you enjoy the stories, and see the value in the themes taken from Monty's equine world.

Dr. Susan Cain

Debbie Loucks

January, 2015

Foreword

By Monty Roberts

My life's goal is to leave this world a better place than I found it for horses and for people, too. When I first verbalized and began sharing my mission statement, I could not have guessed how many educated and passionate leaders would find the concepts useful in their own pursuits. I did not create these concepts, but only discovered what nature already had in place. This book exemplifies how leaders of people have extended the effectiveness of the concepts. This has now become one of my primary goals: to assist others to put into practice the important concepts of trust-based leadership.

When I met Clive Warrilow, he was CEO of Volkswagen North America. He brought his leadership team to Flag Is Up Farms and left with the recognition that both of us approached leadership in much the same manner. Like the horse and trainer in the round pen, great leaders give their people room to run. And not just 'run a little, but run a lot!' When they reach a point where they seek leadership (their flight distance), the leader must be right there. As they seek advice and counsel, leaders invite them to cooperate while seeking help ('Join-Up'). The outcome is that they follow the leader through the trust that has been engendered.

Clearly *Horse Sense for Leaders* does a great job of illustrating trust-based leadership with the elements I employ when working with horses. Horses can read our intent so I must be authentic and trustworthy if I am to create a willingness within them to learn. I

must set clear expectations and be consistent and fair while we work to achieve the goals. Knowing that horses have no ability to deceive, are only aggressive if we give them a reason to be and only wish to survive, I trust them in return. Creating this partnership allows us to expect the best from one other each day.

Brazil is one of those areas on this earth that desperately needs a reduction in violent behavior. I work with the police who have created over decades a mentality of 'shoot first and ask questions later.' Abuse of animals is rampant and would seem to be of no concern to most citizens. The Brazilian pendulum toward violence has swung as far as it can. Many Brazilians now want to move that pendulum back toward the center. At 80 years of age, I will be fortunate if I can start the pendulum, but it is highly likely that moving the pendulum significantly will be left to subsequent generations. The good news is that my early work in Brazil has seemed to find a country that wants a positive change.

The reader should approach this book with an open mind, but I invite being tested on each of my principles. Traveling this globe and sharing the concepts in my 80th year, it's still difficult to predict with certainty what sector of traditional horsemen will change the most dramatically when introduced to Join-Up for the first time. I can assure you that I never expected Brazil, with its centuries of traditionally harsh treatment of horses, to be the fastest to embrace my message of non-violent training.

At the same time that acceptance is being expressed, it is most challenging for me to

receive attempts to discredit my intentions or my integrity. I have made it clear for more than 70 years now that my intentions are to reduce or eliminate violence. My integrity has been 100 percent toward that end throughout my lifetime. I respect, and all leaders should, the need to face hard questions. Every new idea should have to jump through all reasonable hoops to prove its value before being accepted as a plausible answer. The world has chosen to require that I jump through thousands of hoops and my principles have stood the test of time for millions of people and animals.

All who would consider themselves leaders should accept the fact that force and intimidation should be eliminated where shaping the behavior of others is concerned. It is my deep belief that all leaders should cause those whom they affect to accomplish their work because they want to and not because they are forced to. Our globe would be far better off if our world leaders would take on board those principles that the horses have shown us are most important in creating a harmonious existence in the human family, the corporate family or with the animals that experience this journey through life with humans as their partners.

Monty Roberts
January, 2015

Preparing for a Better Reading Experience: About Monty's Ground-Breaking, Game-Changing Join-Up® Training

"I don't think anyone ever realizes the power of the message until they see the raw honesty and communication between horse and trainer. It's quite powerful."

-Participant, Night of Inspiration Event at Flag Is Up Farms

Why is this topic important?

Trust is the primary building block for developing effective relationships at work. Workplaces often unintentionally breed distrust, resulting in disengaged employees and unnecessary, unresolved conflicts. These are the symptoms of trust breaches that are identifiable and repairable.

What can the reader achieve with this book?

This book helps readers connect with the fundamental importance of trust at work, how to lead with trust as a core strength, and what behaviors, skills and tools are readily available to develop a framework of increased trust at work.

The "Trust Conversation" of Join-Up: what is Join-Up, and where can I watch Monty in action?

Join-Up is the foundational training approach that Monty uses to introduce a horse to a human trainer so that mutual trust can develop. Readers will see in chapter seven focusing on *The Science Trials* that Monty has discovered a faster way to develop trust with horses.

We recommend that you watch a Join-Up here before proceeding:

❖ <https://www.youtube.com/watch?v=vYtTz9GtAT4>

As you watch, ask yourself:

- How does Monty prepare the environment to encourage trust?
- How does he encourage trust to develop?
- How did Monty respond to the horses' reactions?
- How did Monty's actions allow the horse to choose trust?

Spotlight on Join-Up: Interview with Monty Roberts on the Gift of Join-Up

Co-author Debbie Roberts-Loucks interviewed her father, Monty.

Debbie: Can you define Join-Up?

Monty: Join-Up is a process in which a human utilizes a combination of predator and equine signals (typically those of the lead mare in a herd) to propose a relationship of cooperation in which the human will take the decision-makers' position (just as a lead mare in a herd does). This process is complete when a horse chooses to be with a human rather than away from him. Horses have survived for millions of years, avoiding predators by being ever wary of their environment and only giving their trust to those who have earned it. A horse's first instinct is to take flight from anything they are not familiar with. Imagine the first time a horse meets a human who understands the horse's gestures of communication and "communicates" to him in it.

Debbie: As a teenager, you discovered that horses have a silent communication system based on gestures. You've spent your lifetime studying and teaching others to communicate with a horse in what you call "Equus." Can you tell us more about this?

Monty: These signals are non-verbal, predictable, discernible and effective. The elements are really quite simple, but simplicity becomes their greatest strength.

Debbie: Join-Up is the gift that you developed for the rest of us who needed a process to understand how to communicate with the horse in order to create an environment of cooperation. What prompted you to do this?

Monty: I first developed Join-Up to stop the cycle of violence typically used in traditional horse-breaking. Through a process of clear communication and mutual trust, horses are motivated to be willing partners as they accept the first saddle, bridle and rider of their life in less than thirty minutes.

Debbie: Join-Up evolved into a process based upon communication to create a bond rooted in trust. How does it achieve this?

Monty: It must be nonviolent and can only be accomplished if both partners are relaxed at the end of the process. To gain Join-Up with a horse, it is necessary to step into his world, observe his needs, conditions and the rules that govern his social order. One should learn to communicate in Equus since we know he cannot communicate in our verbal language. This process cannot be faked. Once understood, it is easy to use and can be trust-building for both human and horse.

Debbie: So Join-Up is a tool with which to create a safe and comfortable environment for ongoing communication. Can anyone learn to do this?

Monty: The tool must be used with skill, which may take years to perfect, but in its basic form can be quickly learned. Join-Up works at any stage during this partnership between man and horse, whether it is a new one or one of long standing. Join-Up between human and horse heralds an end to isolation and separation of both our species by bonding through communication. It is a procedure that should be precisely followed; there are no short cuts. Join-Up may bring out conflict and perceived resistance or even ambivalence. However, if the trainer is competent, believes in the concept and executes it reasonably well, the horse will respond positively. It is imperative that anyone employing Join-Up is totally responsible for their own actions.

Debbie: Since violence must have no part in the process of Join-Up, how can you ensure that the horse will respond the way you hope?

Monty: Violence of any kind will destroy the effectiveness of the procedure. A trainer must move through the process keeping the conversation alive, always allowing the horse time to respond. Join-Up is *response*-based, not *demand*-based. The trainer should comply with two significant conceptual rules.

First,, time is not the important thing! Good horses are! An equine partner of the highest caliber should be the goal. A trainer should enter the process of Join-Up with the idea that time is not limited. This attitude will maximize results in the minimum amount of time. Horses are animals of synchronicity. If the trainer's heart rate or adrenaline increases, the horse will sync with this physiology as well. I say, adrenaline up; learning down. Adrenaline down; learning up.

The second most important point to remember is that the trainer waits for the horse to do something right and rewards him. He does not wait for the horse to do something wrong and punish him.

CHAPTER 1

A Transformational Leadership Story: *Monty Manages Change, Encounters Resistance, and Overcomes Setbacks in Brazil*



Photo Courtesy of Afonso Westphal.

Man in the Arena

"It is not the critic who counts: not the man who points out how the strong man stumbles or where the doer of deeds could have done better. The credit belongs to the man who is actually in the arena, whose face is marred by dust and sweat and blood, who strives valiantly, who errs and comes up short again and again, because there is no effort without error or shortcoming, but who knows the great enthusiasms, the great devotions, who spends himself for a worthy cause; who, at the best, knows, in the end, the triumph of high achievement, and who, at the worst, if he fails, at least he fails while daring greatly, so that his place shall never be with those cold and timid souls who knew neither victory nor defeat."

-Theodore Roosevelt

“I can see people who have been exposed to violence from across the room. That’s my demographic.”

-Monty Roberts

In Brazil, like much of Latin America, horses are often trained by traditional methods involving force. Training horses in the traditional method involves using an authoritative and forceful leadership style to “break” the horse.

Translated to the work-world, this style recalls the hierarchical, top-down command and control leadership style useful in the manufacturing age, but it does little to engender trust, collaboration, and motivation in today’s age of information.

This approach has been replaced by leadership models that engender trust and help followers find their motivation, styles like charismatic leadership, situational leadership, servant leadership and transformational leadership. The market is crowded with leadership theories, each proclaiming their benefits and respective values.

A good example of transformational leadership – the ability of a leader to inspire followers – can be seen in Monty’s Join-Up process, where the horse is transformed from flight animal to trusting partner.

There is research to support how transformational leaders impact followers. According to authors Bass and Riggio (2006), there are four components to transformational leadership, what they call the four I's:

1. **Idealized Influence:** leaders are seen as a role model, "walking the talk," and are admired by others who pay attention to what the leaders do.
2. **Inspirational Motivation:** leaders inspire and motivate followers. Their sense of charisma lifts followers to a high performance expectation and to high levels of achievement.
3. **Individualized Consideration:** leaders authentically care about others, focusing on followers' needs and feelings.
4. **Intellectual Stimulation:** leaders challenge followers' toward higher levels of performance, expanding their sense of personal capabilities.

Research shows that transformational leaders are anything but "soft"; groups led by transformational leaders have higher levels of engagement, performance outcomes and motivation than groups led by other types of leaders (Bass and Riggio, 2006).

The key that transformational leadership holds to increasing motivation is the combination of positive expectations and personal challenge.

Monty often says, "I don't want my students to be as good as me, I want them to be better than I am."

This exemplifies Monty's transformational leadership approach, inspiring horses and humans to strive beyond complacency, to exceed their normal levels of performance and rise to the occasion because they are encouraged and challenged.

Case Study: Transforming Brazil

Monty has become a transformational leader on a much larger scale with his work in Brazil. Recently, while introducing his concepts there, Monty experienced a setback involving a scam that originated in the country he has helped to transform. Monty was filmed by an unknown saboteur looking on approvingly at a brutal horse-breaking demonstration. The videographer spliced the film so that a smiling Monty appeared to be endorsing the bloody beating that the demonstration horse endured. This resulted in outcries from fans across Brazil convinced that they had been duped by Monty's anti-violence message.

Eduardo Moriera, a prominent Brazilian businessman and successful author, discovered Monty's violence-free methods several years ago after undergoing his own setbacks. He wrote a book about his experiences, which became a best seller in Brazil; *Encantadores de Vidas (A Charmed Life)*.

He later built the Monty Roberts-Eduardo Moreira Center for Learning to educate others in Brazil about the humane handling of horses. Eduardo commented on the initial impact of introducing Monty's concepts:

Hundreds of thousands of people have changed the way they deal with horses after Monty's methods were introduced in Brazil. The demonstrations from Monty, the book that I published, and all articles and shows broadcasted in the past months have impacted the country from north to south.

Since that time, Monty has worked diligently to demonstrate the need for a violence-free approach to training young horses through numerous appearances in Brazil. In fact, the Sao Palo Police Academy has even embraced Monty's concepts, taken largely from his book, *Horse Sense for People*.

Traditions Give Way to New Thinking

Many in Brazil have chosen to follow Monty's approach and have turned away from the old training traditions of beating horses. These old ways involved teaching the horse to "respect" humans through the use of force. But culture is a strong influence; a need to "prove" themselves to be fearless and powerful still persists among horse handlers in Brazil.

Of course horses, being prey animals, may look imposing, but are actually descendants of much smaller animals that were preyed upon. Horses are flight animals, not fight animals. Monty's methods engage the horse in building trust, much like one would when coaxing a bird or a deer to eat from the hand. Logically, it seems that horses should be "gentled" instead of brutalized during training procedures.

This has been Monty's simple message for decades, one he has repeated throughout the world, transforming people's perspective about horse-training. But changing a long-established culture is a massive undertaking.

On a recent mission to Brazil, Monty emerged from a plane to be whisked away to a demonstration of horse-training hosted by the largest breed association in the country. Once there, he was shocked to learn that the "demonstration" was actually one showing the traditional methods (brutal ways) of breaking a horse.

Monty requested that the demonstration be filmed as an example of the harsh breaking processes still used in many regions around the world. In Brazil, the native language spoken is Portuguese, one that is challenging and unfamiliar in every sense to non-speakers.

Monty's one allocated translator was a young girl named Isabella. As the brutal demonstration began, Isabella left his side to avoid watching the violent show of raw, machismo cowboy action. Now alone and unable to communicate with anyone around him, Monty witnessed the violent demonstration with strangers at his side.

Seeing is Believing

There Monty stood as cameras rolled, pinned in by the crowd and unable to stop the bloody beating that the horse endured. Finally, the horse was led away, and Isabella returned, apologizing for leaving because she could not bear to watch. Monty

immediately went to check on the horse, finding him standing in a small, rock-strewn enclosed pen; Monty called in a veterinarian to tend to the battered animal.

After this difficult event, a video was produced and aired on a Brazilian television network. With some creative editing, the traditional demonstration had been spliced with amateur video of pre-demonstration Monty. The video showed Monty looking on, seemingly in approval of the brutalities that the horse was forced to endure. Eduardo gave an accurate picture of the resulting backlash from those who watched the video:

The initial impact of the current turmoil is clearly negative. I have received many messages from people that say that they no longer believe there are people who care with their heart for animals in this world. They say that they lost their hope. And there is nothing worse than making people lose their hope. It is very sad because I have dedicated a good portion of my life to spreading those concepts and make people believe that there is another way of relating with horses, animals and people using Monty's methods.

The final result might not be that bad though. Monty always wanted people to know how cruel the traditional way that people started horses throughout the world actually was. Maybe not through the best possible way, but now Brazilians know how cruel it is – and they are shocked. So now they are reacting. As the truth regarding the facts surrounding the setback is beginning to appear, Monty's image is going back to where it was. People will be willing much more now to

adopt a method that does not use violence. So, in my opinion, a couple of years from now, we will be able to multiply by many-fold the impact that we have already caused in Brazil.

Transformational leaders are judged by their actions, and to many in Brazil, this appeared to be an endorsement of the old, brutal ways of training horses. It's an easy call to make, especially when an unknown videographer splices a smiling Monty seemingly endorsing the bloodshed. In the outpouring of anger that ensued, Monty received death threats and hundreds of angry responses from followers who felt betrayed.

To counteract this, Monty and his advisors swiftly opened a civil court case against the perpetrators, and issued numerous reassurances that he would never endorse cruelty or violence.

Transforming Others by Working Through Resistance

Leading change at any level is one of the most challenging tasks of a transformational leader, and Monty is leading from the world stage. "Resistance" is what happens when people encounter change and are unready or unwilling to move through it. Instead, they want to return to comfortable or familiar conditions.

While Monty and Eduardo had made significant progress in Brazil, and people could see the logic and value in their "new" training approach, others clung to the old ways.

The video is a perfect example of resistance. Despite the setback of the infamous video, people were awakened to the cruelties of traditional practices.

To further motivate the people of Brazil to change their training methods, Monty did two startling and very effective things.

First, he engaged Her Majesty, Queen Elizabeth II, in a conversation about the difficulties and possibilities of transforming the training practices in Brazil with her help. The Queen responded by offering a series of awards for leaders who followed Monty's non-violence approach (Watch the video here <http://youtu.be/gauzqQa3yWg>).

Secondly, he began holding trainings at his California horse farm, Flag Is Up Farms, focusing especially on Brazilian groups. These were useful beginnings, but resistance is a strong force against change. Understanding Latin culture and expectations helps explain why the resistance to Monty's training methods is so strong.

In Latin cultures, the "culture of honor" is the norm, with expectations that reaching manhood means having the courage to fight. It is also important for men to protect their name, honor and dignity and keep their word. Horse training, then became a natural part of the "proving up" process, and needing to feel powerful and in charge is a great reason to embrace the old ways.

Using force and cruelty to “fight” a seemingly uncontrollable animal, such as a 1200-pound horse, is a potentially convincing way to prove up.

Transforming Others Through Change

Monty, Eduardo, and now the Queen of England were working together, trying to convince millions that training horses involves courage in a different way: protecting the honor and dignity of the horse. Transforming a culture takes time and consistent support. Through repeated messages, training, and demonstrations, people in Brazil are now learning that horses are flight animals and that their culture of honor can be aligned with the needs of protecting the needs of the horse.

But this will take the time, patience and the persistence of many world leaders working together.

Interview with Monty Roberts: How Horses Shaped Monty's Values as a Leader

Author Susan Cain met with Monty in summer 2014 to discuss Monty's views.

Susan: Of the horses that you've trained, which ones have the most influence on you as a developing leader?

Monty: Well, Johnny Tivio stands well out in front. Lomitas is a close second. I'm going to say some things that the general public wouldn't understand. I'm going to put third a horse that never had a name; never lived more than four or five years and ended up in a butcher shop.

He's called the "no-name mustang" in my book and he's the horse I was working on in the "Green Corral" in the days when wild mustang races were held.

The Green Corral is where they stored the mustangs that were getting ready for the wild horse races and that's where I got to work in an enclosure. In the wild, all I got to do was observe their natural actions.

In the Green Corral, as I watched the mustangs in the pen, it dawned on me that there was a language; it dawned on me that there was a possibility that a human being could learn that language and could conduct, in some fashion or another, the necessary gestures to cause a horse to respond in what I considered its own language.

The Green Corrals were right next to the rodeo arena in Salinas, California, where I grew up. That's where they fed them and so forth and that's where I where I made my case to Doc Leach, that I could start these mustangs after the race and save some for riding. Anyway, the no-name mustang experience was the first year where I explored the possibility of a language.

I watched him going around this pen and I watched the ear and I watched the licking and the chewing and I watched the lowering of the head and all these things. Mind you, don't give me the credit for knowing that these four things were the gesture at the time that would later become paramount in the language I now call Equus.

I didn't know what the hell I was doing. I had a natural feeling that if I went passive at a certain time, then this horse might respond to me in a favorable way and he did. I remember going to my brother, who was kind of laughing about it, watching the horse following me around. He thought it was funny, a coincidence.

One of the grooms, Wendell Gillott, said, "This is something. You're on to something here. You've got to keep working with this. This is something." He set things up for my first Join-Up, hiding me from my father between the number two and number ten barns in Salinas.

Wendell came and he supported me when others did not. My father went nuts when he heard about it and nobody else thought Join-Up had any value whatsoever. Of course, those horses were slaughtered right after the event so my mustang never had a name.

But my brain used that stone in the stream as a touchstone point to trigger me to do everything I've done since that day. So how important was that mustang? Someone might say "Oh yeah, well another one of those horses would have to do it eventually."

Yeah, what if they didn't and he was the one, so there you are.

CHAPTER 2

The Four Practices of the Trust-Based Leadership Model



Photo Courtesy of Bob Viering.

“The flight animal only has two goals: to reproduce and survive. And fear is the tool that allows him to survive. This has to be respected in any dealings with a horse, otherwise he is misunderstood.

Man, however, is a fight animal. His preoccupation is with the chase, and having dominion over others in order to eat them or use them for his own ends.

So the horse is at the far end of the flight animal spectrum, while mankind is way off the edge of the opposite, the fight animal spectrum. In order to gain a horse’s

trust and willing co-operation, it is necessary for both parties to be allowed to meet in the middle.

However, it is the responsibility of the man, totally of the man (I'm speaking generically, to include women), to achieve this, and to get to the other side of this hurdle. He can only ever do it by earning the trust of the horse and never abusing its status as a flight animal."

-Monty Roberts

Impacting Others Through Trust-Based Leadership

Monty Roberts holds live demonstrations at his farm throughout the year. Recently, a group arrived in early summer to watch the remarkable transformation of a wild horse to a tame horse in under 35 minutes. Most traditional horse breaking methods involve days or sometimes weeks of work.

The staff at Monty's Flag Is Up Farm have seen the crowd's reactions many times before: people walking away from the round pen after watching a Join-Up demonstration deep in thought. They witnessed it again as this group dispersed after Monty completed a Join-Up with an un-started horse.

Here was disbelief on people's faces and questions on their lips. How, they all asked, could it be that a 1200-pound animal seemingly chose to have a saddle and rider put on its back in such a short time?

The implications of Join-Up took this group, as it does for many others, by surprise. Many cry. Some tear up and want to talk about times in their lives when they experienced force or violence. It is an awakening for many to realize that a horse is a flight animal, a prey animal, despite their imposing size and that violence is not needed to train them. Still others begin to see that violence – as Monty would say – “is always for the *violinist* and never for the victim.” All of this comes from a horse, a human and a round pen. The event transforms people.

Leadership and the Importance of Promoting Trust

Karen Stephenson is a corporate anthropologist, author and researcher. Several years ago she proposed her *Quantum Theory of Trust*. Her premise is that all businesses rely on networks of people within their organizations to drive the knowledge transfer needed to run the company. Her insights have been groundbreaking.

Dr. Stephenson's findings have underscored the importance that trust plays in the workplace. Her company has developed software capable of diagramming the buildup and breakdown of “trust networks” or relationships at work. The software generates connective patterns of lines showing how people are linked through information and knowledge sharing. Simply put, it shows the trust patterns across an organization.

So if trust is the highway that connects people, how can transformational leaders think about the importance of trust, learn to create trust-based relationships and repair damage to trust when it is called for?

A Trust-Based Leadership Practices Model with Veterans

In the current market-driven economy, it is important to recognize and pay tribute to leaders in the business world who are motivated to high achievement beyond the obvious financial gain. Monty Roberts is this type of leader, relentlessly working in arenas across the world, day and night, month in and month out. People come to hear him for the first time or third or the tenth, to see him start a young horse, or reclaim an abused one, to feel his reassurance that force doesn't work and that trust does. It's a message spoken with great conviction and gratefully received all over the world.

We wanted to connect the dots between Monty's trust-based work, to understand his impact on horses, clients, and colleagues. We wanted to identify the common themes and, hopefully, a working model that Monty uses across disciplines and populations to develop and restore trust.

The most current incarnation of Monty's trust-based model is perhaps the important work Monty is doing to help returning soldiers in a program called *Horse Sense and Healing*. In the program, Monty describes working with soldiers suffering from what he calls "post-traumatic stress injury,"

intentionally replacing the word “disorder” with “injury.” The horses do an incredibly efficient job of helping veterans heal, reconnect with a living thing, and regain a sense of mutual trust. Here is another application of Monty’s approach that is being used with humans.

Back at Flag Is Up Farms, we interviewed both staff and clients and asked them how Monty’s transformational leadership style impacted them. Interestingly, the responses we received strongly correlated to the way that Monty treats horses.

The feedback we received could have been applied to a Join-Up session in the round pen. We found similarities in the way that Monty works, whether with horses or humans. We have gathered the feedback we received on Monty's leadership style into four groups below. We call this the *Trust-Based Leadership Practices Model*.

Transforming Others Through Trust-Based Leadership Practices

No model offers a one-size-fits-all solution, but after interviewing a pool of those who work closest to Monty, we have identified the following practices that characterize his leadership approach:

Trust-Based Leadership Practices Model



1. Be authentic

- Leaders engage others through personal sincerity.
- Leaders reinforce others' sense of individuality and self-worth.

2. Set clear expectations and consequences

- Leaders set clear and fair expectations up front.
- Leaders clarify consequences in an honest and timely way.

3. Promote mutual trust

- Leaders work to eliminate violence and intimidation in their relationships.
- Leaders act to build and repair trust through open dialogue and inquiry.

4. Expect the best

- Leaders articulate performance goals in compelling and engaging ways.
- Leaders offer meaningful challenges that tap personal motivation.

Together, these four leadership practices make up Monty's unique trust-based leadership model. We don't mean to infer that we have discovered the secret to effective leadership. Our culture is prone to the over-simplification and "branding" of ideas. Common sense should inform all of us that no one model can or should be used exclusively to lead in all situations. Instead, we offer ideas and concepts that have proven to be effective in Monty's practice with horses as well as humans.

In addition to focusing on how others perceive Monty, we offer his own words about the importance of trust. In his *Ask Monty* column, Monty was once asked, "What is more important to training horses: trust or leadership?" and he responded:

I love this question because it sits at the heart of everything we need to understand before we can be successful in life or with our horses. Leadership is certainly a wonderful quality and, by its very definition, we will find it difficult to rise above mediocrity in the absence of it. Leadership plays an important role in succeeding in our chosen fields, in our relationships with others and as parents if that is a part of our life.

Many important people throughout the centuries would be considered successful because of their leadership qualities. Winston Churchill, Gandhi, and JFK each made their place on the world scene because the masses chose to follow their guidance. So I think by now you would guess that I am going to say that leadership comes first and is more important than trust. Actually, the opposite is true.

One cannot be a leader for his horse or his dog until he first establishes trust with those individuals. As humans, we tend to lie and misinform, creating a form of false trust. It is, however, very hard to lie to a horse or a dog. They can see through us like no human being is able to. Their inherent perception is far greater than that of a human.

TRUST is the most important factor we can generate in our relationship with our horse if we are to be successful in causing him to want to be our partner. Should we choose to BREAK him, we might enjoy the services of a created slave, but we will not get the performance of a willing partner.

-From the book, Ask Monty, by Monty Roberts

Through his vast experience, Monty has distilled the most important leadership factor down to trust, and he has worked relentlessly throughout the world to establish it as the central priority in the training of young horses, and in the rehabilitation of abused horses.

People can't help noticing the alignment between Monty's beliefs and the way he leads his global organization. There seems to be a mix of commitment, dedication, pride, and autonomy at Flag Is Up Farms. Monty as leader has had a light hand, trusting people who are purpose-driven. This sense of trust is evident in the way things are done at Flag Is Up Farms, and in the regard people have for Monty's work worldwide.

How Trust Impacts Organizational Performance

In his book, *The Speed of Trust*, Stephen M.R. Covey (2006) understood the integral role that trust plays in forming the basis for a successful organization:

When trust increases, speed increases and cost decreases. When trust is high, customers buy more—more quickly, more confidently, and more often. They stay longer and they refer more of their friends. High trust enables relationships to grow, employee loyalty to soar, stocks to rise, and organizational dividends naturally increase.

When trust is high, the resulting dividend you receive is like a performance multiplier, elevating and improving every dimension of your organization and your life. High trust is like a rising tide, which lifts all boats. In a company, high trust materially improves communication, collaboration, execution, innovation, strategy, engagement, partnering, and relationships with all stakeholders.

The Role of Trust in Monty's Life and Career

If trust forms the basis for a successful business, how did Monty's leadership practices create an international icon, taking him from a railroad car he once shared with his wife, Pat, and three young children, to the gilded riding halls of England?

People are drawn to Monty's books, to Flag Is Up Farms, to the Join-Up process, and to the story of how trust and support trumps violence and force. Many come away with a sense of personal affirmation and renewed courage to tackle the perceived fears in their

own lives. It's a phenomenon that many of us at Flag Is Up Farms have seen throughout the years. It's almost as if people who connect with Monty's trust-based message put down a heavy weight, and the relief they feel in expressing their own struggles with violence is palpable.

Few leaders have seen their core values expressed across such a global audience. Monty is one of them. People are drawn to stories. Watching Monty place a saddle and rider on a willing and calm horse for the first time in under 35 minutes ignites curiosity in people. Can it be that trust is that important to the process of being an effective leader? If so, they often ask themselves, "How can knowing all this inform my own assumptions about leading others?"

CHAPTER 3

The Need for Trust-Based Leadership in an Unpredictable World



Photo Courtesy of Afonso Westphal.

“Trust is like air, we notice its importance only when it is polluted or gone.”

- Annette Baier, 1998

The workplace is one of converging changes: older and younger workers who must rely on each other, people working side by side from vastly different cultures, encroaching competition and the speed of technology that drives urgency to a fever pitch. The Trust-Based Leadership Practices model can help in this constantly changing environment, offering direction to leaders who struggle with building collaboration, trust, and communication within their organizations.

The Lack of Trust in Today's Work Environment

According to the annual CEO survey by Price Waterhouse Cooper (PWC) in 2012, 37% of CEOs were worried about a lack of trust in their industry, while in financial services 52% were concerned. These numbers were high enough to cause unease. PWC's results led them to conclude that trust in the world's businesses and leaders have hit an all-time low.

The coming decades will increasingly require a workforce capable of strong collaboration. Baby-boomers will retire or semi-retire in mass numbers. There will be senior leaders turning over control to new leaders. The critical information and knowledge they have will be exchanged and leveraged, or become forgotten and discarded. According to a labor force projection for 2014 completed by Mitra Toossi of the Bureau of Labor Statistics (2005):

Baby boomers were between the ages of 40 and 58 years in 2004, and by 2014, they will be in the age group of 50 and 68, which means they went from being a high participation group, to a lower participation group, which causes the overall participation rate to decrease.

Despite baby boomers moving to a lower participation group, they will be retiring at older ages than what has been considered to be the "normal" age of retirement. This is due to the constantly changing and struggling economy; many people today cannot rely on pensions or secure retirement plans. Toossi, (2005), attributes the ability of older

members participating in the workforce to “governmental policies and legislation aimed at eliminating mandatory retirement and outlawing age discrimination in the work place.” Companies will continue to compete on a global scale, with the need to develop trust-based relationships across time, space and cultures. People will need to think together, create innovative solutions, collaborate to solve problems together and implement solutions together. What is being done to teach collaboration, innovation, and most importantly, trust?

The answer is that the curriculum has not changed in high schools, technical schools, or even colleges to adapt to these emerging needs. While many business schools offer courses in effective leadership or even in leading globally, they pay only scant lip service to the central need for developing mutual trust in today’s workplace.

And of all the human factors that expedite knowledge transfer, innovative leaps, creativity, and collaboration, trust is in the core DNA of each. Teaching trust is difficult; first, stalwarts who prefer to focus on the task side of leadership have to be convinced that relationships are a critical component of effective leadership.

Building relationships is often referred to as developing “soft skills,” with the implication that task-focused leadership skills focusing on, technology, accounting and strategy are more important.

In reality, leaders need both soft skills and task-focused skills to function effectively. The workplace, with its abundant diversity, will require leaders who can connect with people across gender, age and cultural differences.

An Interview with Monty Roberts Featuring Two World Leaders: Thoughts on Queen Elizabeth II and Ronald Reagan

Susan: Who have you met that you would consider an example of an effective leader?

Monty: Queen Elizabeth II is so far in the lead in that race that there is just no competition that can equal her. I think she's travelling at 100 miles per hour in the world of being a leader, I think Ronald Reagan travelled at about the same, 100 miles per hour. He had eight years to travel that, and the Queen has had 63.

One of the qualities, in my mind, that makes her that kind of world leader, I hate to say it because it's the thing that bothers me most about her, is humility. She's so humble that she undersells herself, which, to me, takes away from her impact. On the other hand, she says when I ask her about it "If I didn't have that quality, you wouldn't like me as leader near as much as you do."

Ronald Reagan is another example. He was a really humble guy with an intention for good that very few Americans have ever had. Remember that he stood on both sides of the aisle.

He was a democrat; he was rather liberal for a long time and he moved to a more conservative position when he aged but he never lost sight of the values of the other side of the aisle.

Today, we have many leaders who operate with no integrity whatsoever. We have leaders in the United States that, in my opinion, should be arrested for infractions on the Constitution. Going in and going out, they cannot see across the aisle one inch.

They cannot bear to value the decision of the other side of the aisle because it might cost them when they put their licked finger to the wind. The political breezes do it all now.

It's all about expediency and how to I get my popularity up at the moment? Consequently, their popularity soars for very brief times, and then it goes out like a candle because they have not had integrity.

CHAPTER 4

Towards a Deeper Definition of Trust



Photo Courtesy of Bob Vierung.

"I was, from a very early age, looking for a way to build a trusting relationship, a 50–50 partnership with a horse. Through my early observation of the mustangs in the desert and being constantly around horses, it occurred to me, as I watched them moving about in a close-knit herd united for survival, that trust and communication were the keys to their success as a species.

After much observation, I could put the rudiments of their language together. I believed that if the horse could trust me, then the whole learning process would speed up. I felt strongly that the answer was through communication. It was many years before I could share my methods with the public."

-Monty Roberts

Defining Trust

The Stanford Encyclopedia of Philosophy provides an interesting definition of trust:

“Trust is important, but it is also dangerous. It allows us to form relationships with others and to depend on them for anything. It involves the risk that people we trust will not pull through for us; for, if there were some guarantee that they would pull through, then we would have no need to trust them.

Organizational researchers (Mayer, 1995; Rousseau et al., 1998) define trust this way:

“Trust is the willingness to be vulnerable to the actions of another party based on positive expectations regarding the motivation and behaviour of the other.”

As Monty has shown communication is vital to build trust in any type of relationship—from horses and humans to co-workers in an office setting.

Trust in the Workplace

Employees face vulnerability every day at work when they do things like float a new idea, take a stand or try a new approach. These conditions require the willingness to communicate honestly.

Trust directly corresponds to honesty, and employees can tell when their supervisors are not being truthful to them or feel they are being left out of important information and opportunities.

If employees feel they are not getting the deserved respect and are being kept in the dark, it will most likely affect their commitment to the job and their desire to work hard and put forth effort. In the long run, this behavior ultimately impacts the success of the organization. Successful organizations need to make building trust in their organization a priority.

Why Trust Is Needed Now More Than Ever

“We are often better served by connecting ideas than we are by protecting them...

Environments that build walls around good ideas tend to be less innovative in the long run than more open-ended environments. Good ideas may not want to be free, but they want to connect, fuse, recombine... They want to complete each other as much as they want to compete.”

-Steven Johnson

The internet has changed the way people work. Consulting group McKinsey and Associates calls it “the great transformer.” People are all driven by the unprecedented speed of information available one mouse-click away.

Steven Johnson is the author of *Where Good Ideas Come From, The Natural History of Innovation*, a book that looks at the macro trends on how innovation evolves. Johnson has studied where good ideas come from and how innovative ideas develop over time. What he found was that breakthrough innovations usually result from people connecting ideas, or what he calls “slow hunches.” According to Johnson, the environments that

allow these rich connections are those that are free of the barrier posed by permission-seeking. According to Johnson, “When you don't have to ask for permission, innovation thrives.”

Competitive Advantage Formula for Success

- Need for Speed to Market
- Solving Complex Problems Together
- Shared Expertise

These require:

- trust
- interdependence
- collaboration

Graphic: ©2021, Susan Cain, The Corporate Learning Institute

The need for speed to market, solving complex problems and the need for shared expertise to solve them necessitates that trust needs to be in place to support interdependency. An organization's competitive advantage is built on interconnectedness and collaboration.

1. Organizations reorganize cross-functionally as the internet speeds up competition

A cross-functional organization is an organization whose business model is characterized by interdependent units. Projects flow across functional areas instead of within hierarchical silos in order to increase speed to market and to allow a project access to multiple areas of expert input. In his classic book, *Designing Matrix Organizations That Actually Work; How IBM, Procter & Gamble, and Others Design for Success* (2009), author Dr. Jay Galbraith writes that successful cross-functional, or matrix organizations, are based on personal relationships and trust. The matrix runs on informal communication through personal networks characterized by high trust.

2. Work is More Complex and Requires Collaboration

Companies around the world are experiencing the phenomenon of employee disengagement. Overwhelmed and overworked, many employees become even more despondent when their organizations react by instituting more scorecards and control systems. Companies need a better way to manage complexity.

Morieux suggests simple rules to manage complexity in his book, *Six Simple Rules: How to Manage Complexity without Getting Complicated* (2014). His rules offer a common-sense look at keeping it simple at work:

- Understand what people do.
- Look for and strengthen cooperation.
- More power to more people.

- Increase interdependence and reciprocity.
- Extend the shadow of the future.
- Reward those who cooperate.

These simple yet profound suggestions form the basis for managing the ambiguity and complexity workers face every day. Notice how these ideas rest on the implicit presence of trust.

3. The Result: Collaboration Leads to Achieving a Competitive Advantage

Innovation is the act of creating something that did not previously exist. Experts state that there are three possible levels of innovation: incremental, semi-radical and radical. Incremental innovation represents slight changes to an existing product or service. Semi-radical represents a further departure from the existing design, and radical innovation represents a completely new product or service.

Each contributes mightily to helping organizations grow. In fact, to maintain a competitive market position, it will become increasingly more important for every member of an organization to understand and use basic innovation skills, like creative thinking, collaboration and problem-solving. This establishes a creative advantage.

According to the U.S. Council on Competitiveness, innovation will be the single most important factor in determining America's success throughout the 21st century. Interestingly, researchers Bidault and Castello (2010) found that trust is imperative for companies to develop innovation. In their study linking trust to innovation, the researchers found a "sweet spot" in the levels of trust needed for creating innovation. Evidently, too much trust between

creative partners can result in a lack of creative tension, resulting in unchallenging and accommodating teamwork behaviors.

The secret, then, is to balance trust with high expectations, as presented in the coming chapter focusing on the leadership practice “Expect the Best.”

The Leadership Imperative for Increased Trust

In 1967, author Douglas McGregor defined trust in his book, *The Professional Manager*.

“Trust means ‘I know that you will not-deliberately or accidentally, consciously or unconsciously-take unfair advantage of me.’ It means that I can put my situation at the moment, my status and self-esteem in the group, our relationship, my job, my career, even my life in your hands with complete confidence,” (p. 163). Conversely, in his book *Trust*, Jack R. Gibb describes a fear/distrust cycle that creates low trust in workers. He writes that fear and distrust are most likely to occur when:

- Top management is feared.
- Excessive pressure is placed on people.
- Sales are low.
- Emergencies arise.
- Labor pressures exist.
- The vision of the company is unclear.
- Cultural unrest exists.

Breaking the cycle is critical for organizations to thrive, and understanding how to develop trust plays a key role in doing that.

The Value of Mutual Trust

Engaging employees in important discussions regarding the company and keeping them in the loop on what is happening will increase trust. The bottom line is that leaders and followers must feel that they can trust each other, and when that unwritten contract is broken, they must act to repair it.

Acting to create and repair trust with horses and humans is what Monty Roberts does each day in his busy life. In an extension of his work with horses that was discussed earlier, Monty has developed a program for returning soldiers, called *Horse Sense And Healing*. His free clinics and workshops have been showcased on the Discovery Channel in documentaries as well as other networks. He cites an important distinction in the repair work he has done with veterans, calling soldiers who suffer from Post-Traumatic Stress Disorder by a new name: Post Traumatic Stress *Injury*.

Monty makes a parallel between the trauma and stress that horses suffer and the stress suffered by victims of PTSD:

Horses who refuse to go into the starting gates at the races have many other phobias that trainers deal with on a daily basis are similar. To me, PTSD amounts to the same psychological firestorm that these animals are experiencing. If a psychologist needs his patient to get through a day without killing himself and a dose of some drug will do the trick, then give him the drug; just don't expect it to dramatically change his intention; it simply doesn't work that way.

Every day, people suffer traumas at work, both perceived and real. Leaders must discover and help identify the capacities of their followers to cope and heal. Many workers mask their reaction to stress with artificial exteriors, kill the pain with medications, and never address the root cause. Alienation, fear and trauma can be better managed by restoring trust in relationships and validating worker's individual abilities and self-worth.

Monty states that:

Money can be a drug for many people who have never been to war. If family or the government tells us that we're not good enough to make it on our own, we come to believe it. We accept government assistance and, if it is for a sustained period of time, we give up trying on our own. We tend to become like birds in the nest with our mouths open saying, 'feed me.' I work with my warriors to cause an attitude of self-respect and, therefore, the freedom to fend for themselves.

Self-respect and positive self-regard are an important piece, as it turns out, to being an authentic leader. The next chapter looks at the importance of showing up to others in a genuine, authentic way.

CHAPTER 5

The Four Trust-Based Leadership Practices: *Be Authentic*



Monty in his home with a group from Brazil at Flag Is Up Farms. Photo Courtesy of Afonso Westphal.

1. The Value of Authentic Leadership

- Leaders engage others through personal sincerity.
- Leaders reinforce other's sense of individuality and self-worth.

"It is absolutely amazing that people who have never touched a horse before can accomplish Join-Up. Some of them are trembling with fear and others are doing what they can to show their tough side, acting as though nothing could frighten them. The men and women, large and small, young and old, will act very differently regardless of their size, strength, sex, age or historical background. Not one has ever failed to be visibly moved when the horse chooses to trust them."

-Monty Roberts

There is value when people show up as they really are to others.

In their excellent paper, *Discovering Your Authentic Leadership*, George, Sims, Mclean and Mayer (2007) noted that, "During the past 50 years, leadership scholars have conducted more than 1,000 studies in an attempt to determine the definitive styles, characteristics, or personality traits of great leaders. None of these studies has produced a clear profile of the ideal leader."

On the other hand, the authors note, "authentic leaders demonstrate a passion for their purpose, practice their values consistently, and lead with their hearts as well as their heads. They establish long-term, meaningful relationships, and have the self-discipline to get meaningful results. They know who they are."

Becoming an Authentic Leader

"Authenticity is a collection of choices that we have to make every day. It's about the choice to show up and be real. The choice to be honest. The choice to let our true selves be seen."

-Brené Brown

According to Dr. Brown:

Authenticity is the daily practice of letting go of who people think they are supposed to be and embracing who they truly are. Choosing authenticity means

cultivating the courage to be imperfect, to set boundaries, and to allow oneself to be vulnerable-exercising the compassion that comes from knowing that people are all made of strength and struggle. Nurturing connection and a sense of belonging can only happen when people believe that they are enough.

Just as Monty wrote books reviewing his life's journey, the first step to becoming an authentic leader is to review one's life and to become more "self-aware," as leadership experts suggest.

Self-awareness often comes from difficult experiences.

The authors George, Sims, McLean, and Mayer (2007) found that the 125 leaders they interviewed reported that motivation came from difficult experiences. The authors report that, "The leaders reframed these events to rise above their challenges and to discover their passion to lead."

Leveraging Life's Challenges: A Case Study From Monty's Life

Sometimes it is easier to avoid making a statement, standing up for a belief, or taking a stand. Monty was put to the test in this case study from the book *The Man Who Listens to Horses*. In it can be seen the real impact core beliefs can make and the courage it takes to believe in oneself:

Monty received a phone call that would change my life. Queen Elizabeth II of England had heard about my methods. She invited him to England to give a

demonstration. Once I arrived and had successfully demonstrated a Join-Up, some expressed disbelief remained.

I would learn that the Queen had spoken with her staff and they'd suggested to her that I had done something underhanded with the horses when I was supposedly taking them through the ring to acclimatize them – in short, they suspected some form of trickery.

The Queen hadn't agreed with their judgment, but, nonetheless, she'd asked what they would need to see in order to be convinced that my work wasn't fraudulent.

They'd suggested that a truck be sent over to Hampton Court to pick up two very large, three-year-old piebald stallions, who were very raw and had barely been handled; they'd certainly never seen me or the round pen. They proposed to take them one at a time off the truck and see if I could start them – predicting I would fail.

The Queens's enquiry, Sir John told me he wanted me to start these horses without acclimatizing them to the ring. Because my working methods were new to him, I suppose it didn't seem like much of a request. However, it's unfair to expect horses to go through an experience that must rank as the most traumatic of their lives and be introduced to a frightening new

environment at the same time.

This new plan concerned me, as there was enough pressure on the event already. I was in a fish-bowl. It was important that everything went well, and naturally I wanted the right measures taken to give me the best chance.

There were 100 guests invited to see the demonstration that afternoon, as well as the stable staff who were now lining up against the wall – and I knew they were expecting me to fail so my work would be judged as false.

Sir John took the microphone and stepped into the round pen to introduce me. The huge piebald colt came charging towards him and slapped his big front feet on the ground, exhibiting anger over the whole situation.

So, Sir John stepped quickly back outside the gate and made the introduction from the other side of the fence – and you couldn't blame him.

I was not happy about these new circumstances, which I felt were unfair as well as dangerous. This big colt was aggressive and, in addition, continually distracted by his friend's calling from just outside the building.

Suddenly, everyone stood up – the Queen had walked in. She wasn't

scheduled to be here, but she had turned up to see the outcome of this. She went to an area behind where the seats were located and gesture to everyone that they might sit down.

Sir John continued with his introductory speech and explained what they were about to see.

I couldn't do much else but step through the gate into the round pen, pick up my line and give it a go.

Monty did indeed succeed in joining-up with the huge colt. The Queen was so impressed that she thereupon decided to adopt Monty's training methods.

The Value of Drawing From Real Life Experiences

Authentic leaders draw their inspiration from their own life experiences. Monty has made it a life mission to "leave the world a better place for horses and for people too." He has developed a career path based on his early experience of abuse from his father. Monty took his early experiences and personal truths and did an interesting thing; he redirected his repulsion, anger, and sadness and went in the opposite direction by training horses with a trust-based approach instead of a fear-based approach. At first, his ideas were not popular or well-understood by others. As a child, Monty frequently escaped from his father's brutality by watching herds of wild horses. He learned first-hand that horses, like deer, are "flight animals," not "fight animals." He watched as mares used gestures in their own silent language to school youngsters in the herd. He adapted this language into his own human gestures that he now uses every day in his training. He calls the language of the horse "Equus," and his discovery (that trust-based communication is a more effective way to train horses) are now widely accepted and endorsed.

At first ridiculed for thinking that violence had no place in starting young horses, Monty has now built an empire on his core thinking. People could call Monty's discovery a "disruptive innovation," an idea that forever changes the status quo in an industry. His ideas were endorsed by a handful of "early adapters" who saw value in his work. But the critical mass of mid- and late-adapters did not embrace his ideas until later in his career. Now his ideas have become mainstream, endorsed by industry leaders and the Queen of England.

But Monty took the first lonely steps, creating a radical departure from mainstream horse training. Monty's core beliefs infuse his work with purpose and sustainable growth. He did not abandon his beliefs, even under great pressure. He built an empire based on what he knows to be true. Leading the empire requires a certain entrepreneurial spirit as well as the self-worth needed to sustain momentum.

Steps To Becoming A More Authentic Leader

"Owning our story and loving ourselves through that process is the bravest thing that we will ever do."

-Brene Brown

The graphic below illustrates the steps a leader can take to become actively authentic, to own and practice who they really are. The questions help to think more deeply about drawing from your real-life experiences:



Together, these questions form a reflective approach to thinking through the process of becoming an authentic leader.

Attributes of an Authentic Leader

Researchers have found that authentic leaders hold certain attributes (Dirks & Ferrin, 2002 and Mayer et al. 1995), found that for trust to grow, the trustee (i.e., a leader) must possess three characteristics that are critical for the development of trust:

1. ability
2. benevolence
3. integrity

According to Avolio, Gardner, Walumbwa, Luthans, and May (2004), “authentic leaders build benevolence and integrity with their followers by encouraging open communication, engaging their followers, sharing critical information, and sharing their perceptions and feelings about the people with whom they work; the result is a realistic social relationship arising from followers’ heightened levels of personal and social identification.”

Work by Jung and Avolio (2000) suggests that leaders may build trust by demonstrating individualized concern and respect from followers. It is also known from social exchange theory (Blau, 1964) that a realistic social relationship is likely to lead to gestures of goodwill being reciprocated, even to the extent of each side willingly going above and beyond the call of duty (Konovsky & Pugh, 1994).

Recapping the First Practice: Be Authentic

Circling back to the first practice, Being Authentic, we have found through feedback from interviews with Monty and his staff that two practices support the ability of a leader to be authentic:

1. Leaders engage others through personal sincerity.

Leaders who show up as themselves, with imperfections and humility, come across as more sincere and credible.

2. Leaders reinforce other's sense of individuality and self-worth.

Leaders demonstrate their ability to go beyond judging to acceptance respecting, appreciating and valuing others.

This chapter has considered the definition of an authentic leader, the value that authentic leaderships offer, and steps to becoming a more authentic leader. In Monty's words, "leading authentically is the only option, because the horse is the final judge."

Interview with Dr. W. Andreas Jacobs

W. Andreas Jacobs is Executive Chairman of Jacobs Holding AG, Executive Chairman of Callebaut AG, and Vice-Chairman of Adecco SA. Dr. Jacobs is internationally recognized and respected in the horseracing world. He has worked with Monty numerous times; perhaps most famously with his legendary race horse Lomitas.

Question: How did you first encounter Monty and his work?

Dr. Jacobs: Monty and I first met when he worked with our horse Lomitas. Lomitas was a very talented and equally intelligent horse that refused to load the starting gates. Monty helped him to trust human beings and overcome his fear about the starting stalls.

I have watched Monty for 20 years start our yearlings. This has allowed them to participate in certain exercises like jumping or running without pain or fear. But this is not Monty's biggest accomplishment. His biggest accomplishment is the work he does in human-to-human situations, where one human may have had a bad experience or been abused.

Question: As a leader yourself, how do you see Monty's impact in the world?

Dr. Jacobs: Monty's key impact is on how the world is dealing with horses. Since he has demonstrated his methods, the world has changed. Horse people understand that there are peaceful and painless ways to start and train a horse. This is a huge change for millions of horses. Especially because Monty is sharing his methods with the world,

he is teaching students and riders through courses or videos, allowing his methods to spread around the globe.

But his classes where he applies his methods to a human-to-human scenario are equally breathtaking, covering all ages and all social standards. I have seen him talking to well-known corporations, who rated his “take-home-value” the highest.

Question: What do you feel are the most important leadership qualities?

Dr. Jacobs: The ability to motivate a group of people in the organization by being human, touchable, emotional, all based on solid values and a well prepared and communicated strategy is the most important leadership quality.

To motivate people, you have to show them the next level; how exciting and enriching it can be with progress and achievements. I was given the chance to quadruple the size of our chocolate business between 2003 and 2013. The share price today is eight times what it was in 2003. And we became the largest cocoa and chocolate manufacturer, producer of about 25 % of the world's cocoa, and 20% of the world's chocolate. This was solely a team effort. We were steering the team, based on solid values and a thoroughly developed strategy.

Question: What do you feel Monty's most important leadership attributes are?

Dr. Jacobs: Monty is a very generous leader. He is constantly sharing his insights and teaching others to observe and learn. He created a large learning center, trying to leave something behind for the next generation to build on, to make the world a better place.

CHAPTER 6

The Four Trust-Based Leadership Practices: *Setting Clear Expectations and Consequences*



Photo Courtesy of Afonso Westphal.

- Leaders set clear expectations upfront.
- Leaders clarify consequences in an honest and timely way.

"Join-Up is the process of communicating with the horse to create an environment of cooperation. I will fully explore all of the elements of this procedure. I intend to break down the essential elements of Join-Up to educate you not only of its importance, but how to do it. The reader should fully understand that the execution of the principles of Join-Up is likely to produce a partnership with the horse, virtually eliminating the creation of remedial problems.

It is important for all horsemen to know that remedial problems are, in almost every instance, the product of training error. If I were to write the perfect book and every reader did a perfect job of executing the principles, there would be no need to discuss recommended procedures for dealing with remedial problems. It is a given that I will not write the perfect book and no reader will understandably work without mistakes. With that knowledge in mind, I will include on these pages practices that I have discovered to be effective in dealing with man-made problems.

Since the horse is a flight animal, he reacts and responds rather than initiates. This fact dictates that the presence of what we perceive as a remedial problem is caused by us and our shortcomings. If the horseman conducts his training each day with these facts clearly understood, it is likely that he will reduce the potential for creating negative behavior."

-Monty Roberts

Leaders Set Clear Expectations Upfront

It is interesting that much of Monty's work with horses is remedial, correcting the behaviors that horses receive and interpret from their human counterparts. This also goes on far too often in the workplace, where there may be a lack of clear expectations or an absence of expectations to follow. The job of many leaders is not only to express their expectations clearly, but to conduct remedial and repair work with those who have received no expectations or unclear or inaccurate expectations.

A Closer Look at Setting Clear Expectations

It has been said that complexity is the silent killer of business. If that is the case, then today is an age where information flows so freely that the “faucet” is turned on all the way, 24 hours a day. Communication scholars refer to this as “noise in the system,” and it is a force that leaders have to negotiate themselves before they can help others through. People have gone from a world of static messaging to a multi-dimensional communication landscape, and there is no going back.

Many savvy leaders know that good ideas can come from anywhere in an organization. Innovation and creativity are suddenly everyone's business. Leaders can inspire followers to see through the complexity, grapple with possibilities, share feedback, and act on expectations? Business consultant and author Ron Ashkenas' book, *Simply Effective: How to Cut Through Complexity in Your Organization and Get Things Done*, contains some very useful advice for setting clear expectations. He has created a useful list of avoiding the wrong things to do when making requests of others.

The Seven Deadly Sins of Making Demands

- 1. Backing away from tough expectations:** Framing the expectation or goal as a choice, so it can become easily ignored or minimized.
- 2. Engaging in charades:** Knowing that this is a “fake work” initiative; there is no real hope of accomplishing the task.
- 3. Accepting see-saw trades:** When employees take on one goal, they are relieved of another one.
- 4. Setting vague or distant goals:** There is no detailed time frame, clear definition, or the goal is set too far into the future, so no one takes it seriously.
- 5. Not establishing consequences:** There is no differentiation between those who successfully achieve goals and those who do not.
- 6. Setting too many goals:** Setting too many objectives allows other to prioritize goals according to preference, instead of importance.
- 7. Allowing deflection to preparations, studies, and research:** People are allowed to spend time planning instead of committing to a real goal.

Setting expectations clearly is a critical step in establishing mutual trust. It's important to determine these “deadly sins” when thinking about communicating expectations to others.

Setting Clear Expectations – A Round Pen Case Study

Monty is clear in his notions of a response-based setting (instead of a demand-based setting) to help horse and humans increase mutual trust:

“Join-Up is a tool, like a fine chisel, with which to carve a safe and comfortable environment for ongoing communication. The tool must be used with skill, which may take years to perfect, but in its basic form can be quickly learned. Join-Up works at any stage during this partnership between man and horse, whether it is a new one or one of long standing. Join-Up between you and your horse heralds an end to isolation and separation of both our species by bonding through communication. It is a procedure that should be precisely followed; there are no short cuts. Join-Up may bring out conflict and perceived resistance or even ambivalence.

However, if the trainer is competent, believes in the concept and executes it reasonably well, the horse will respond positively. It is imperative that anyone employing Join-Up is totally responsible for their own actions. Violence must have no part in the process of Join-Up. Violence of any kind will destroy the effectiveness of the procedure. A trainer must move through the process keeping the conversation alive, always allowing the horse time to respond. Join-Up is response-based, not demand-based. The trainer should comply with these two significant, conceptual rules.”

To set the clear initial expectation that a horse can choose to join him or not, Monty emphasizes this:

“I say don’t go away a little, go away a lot. Consider your options. Come and join-up with me and I will protect you, or stay out there on your own. But you can trust me. There is an environment near to me and it is perfectly safe.”

The Join-Up Guide to Trust-Based Leadership

Setting clear expectations upfront with others prevents a lot of misunderstandings and assumption-building later on. When Monty enters a round pen to work with a horse he has never seen before, he uses a stylistic approach that builds mutual trust. First, he speaks the horse’s language, a language of gestures Monty has named “Equus.” He sets the first expectation clearly, he makes a gesture for the horse to “go away.”

Instead of a demand or a sharp whip, Monty stands ready to support the horse when s/he is ready to “join-up,” putting an end to the horse’s sense of isolation and fear.

The most effective leaders know that putting an end to isolation and fear at work involves communicating effectively. Leaders have available to them a mesmerizing array of web-based communication options from which to choose. Most leaders embrace technology to enhance their communication reach, but problems can arise when leaders replace in-person conversations with more impersonal approaches.

Using the same incremental learning process created by Monty in the round pen, we have recreated the Join-Up conversation for human use.

Monty's Join-Up Conversation Guide

In the round pen, Monty Roberts starts horses by introducing them to a trust-based approach. The round pen almost acts as an accelerator, allowing trust to develop as a foundation in the relationship. A similar process can be applied to conversations at work and outside of work. The Join-Up conversation is a trust-building conversation that can be used to clarify and share information or redirect another person.

The Join-Up Conversation Guide

The leadership opportunity in a Join-up Conversation is to set up a contract that assures mutual trust and optimal performance. The Join-Up process taps into the most powerful motivational source possible: the willingness of the other to commit to a trust-based relationship, based on free will and choice. The conversation is dependent upon the leader setting the tone and direction in order to facilitate the development of mutual trust and establish performance expectations. This is the brilliance of Join-Up, tapping into the discretionary willingness of both the leader and follower to trust each other in the accomplishment of mutual goals.



THE JOIN-UP CONVERSATION GUIDE: HOW TO ACCELERATE TRUST

- 1** The leader begins the process by requesting a meeting and creating the conditions for a constructive and positive conversation.
- 2** At the meeting, the leader adjusts their tone and tempo to meet the other's needs, while introducing the topic and focus of the conversation.
- 3** The leader assures shared dialogue in the conversation to explore their own and the other's goals and expectations, and the possibilities involved in changing or remaining the same.
- 4** As a decision point is neared, the moment of Join-Up in the conversation, the leader and follower goals are merged into a clear mutual goal, and a sense of going forward together has been achieved.
- 5** The leader and follower brainstorm options for the best way forward.
- 6** Follow-Up by communicating clear next steps and expectations.

1. The leader begins the process by requesting a meeting and creating the conditions for a constructive and positive conversation.
 2. At the meeting, the leader adjusts his/her tone and tempo to meet the other's needs
-

Many say that setting clear expectations is a matter of *showing* instead of *telling*, in order to help others decide, as Monty does. Showing others why an expectation is important sometimes involves telling compelling stories, keeping the message simple, and allowing the story to create urgency. Mark Twain once said, "*Don't say the old lady screamed. Bring her on and let her scream.*"

Expressing clear expectations can help others get a sense of urgency a clear need and how the expectation can meet that need.

Holding Others Accountable: The PIC-NIC Feedback Model

Monty discovered a useful adaptation of a B.F. Skinner model for setting and holding consequences he learned from Dr. William Miller. In his *Ask Monty* column, Monty offered a detailed explanation of the model and how to use it with horses:

Question: How much time do you have after your horse has made a mistake to effectively correct it?

Monty's answer: Most of the top behaviorists of the world will agree that where horses are concerned we have about three seconds after the action in order to effectively reward or discipline. One should remember that human nature suggests that we are much more apt to discipline immediately than we are apt to reward immediately. Since reward is every bit as important as discipline, we will tend to fall far short in that category. The term P.I.C.N.I.C. is often used to label a rule which governs this phenomenon. P.I.C. stands for Positive Instant Consequences and N.I.C. stands for

Negative Instant Consequences. The key word is Instant, recognizing that we have three seconds in which to express contentment or discontent with the actions involved. If your horse seems to be a slow learner or continues to cause you trouble over a sustained period of time, one might take a hard look at the timing you accomplish in the area of the PICs and NICs. Bad behavior is almost always our fault and not the fault of the horse.

Human leaders can benefit from this concept by offering consequences in the form of consistent feedback. Studies show that younger employees first entering the workforce want feedback often. Feedback is critical to building performance in followers.

Giving Effective Feedback: The Key to Employee Accountability and Engagement

Most employees think about feedback in terms of their once-a-year review or the time they got the riot-act read to them by their boss when they messed up last year. For a significant amount of employees, the idea of getting feedback is both stressful and angering. It isn't their fault.

Only two percent of managers and leaders are trained how to effectively communicate with employees (Stone & Heen, 2013) which leaves a lot of room for mistakes, especially when it comes to giving feedback. The existence of this gap is surprising as there is a great deal of research that shows the advantages of giving effective feedback and conversely, the costs of not giving enough feedback or giving bad feedback.

For most employees, the biggest (or worse, only) source of feedback they get is their annual performance review. This is problematic as four out of five employees are unsatisfied with the quality of these reviews (Batz, 2013).

Employees feel that that these reviews are not an accurate account of their performance and rarely give them specific ways that they can improve. Studies show that these employees are about two times as likely to seek new employment versus those who see their reviews as accurate (Jacobsen, 2013).

Another concern that employees have with feedback is that they view it as mostly negative. Some employees feel that the only time their managers notice them is when they mess up. Leaders need to address this problem, as 67% of employees are motivated to work harder when they are praised by their leader (Jacobsen, 2012).

Praise for good performance is an important facet of effective feedback and has massive effects on employee satisfaction, engagement, and performance (Thorne, 2013). This isn't to say that negative or critical feedback shouldn't be given to employees as critical feedback is an important part of improving performance and coaching; but employees need praise and encouragement from their managers as well.

The final major gap in feedback for employees is the actual delivery of feedback. As mentioned above, only 2% of managers are trained how to communicate with employees (Stone & Heen, 2013). This leaves a lot of room for bad communication

practices, especially when it comes to giving feedback. Poorly delivered feedback can, at best, lead to no or little changes in employee behavior or performance, or, at worst, lead to disengaged and unhappy employees (Thorne, 2013).

With the largest feedback gaps identified as frequency, content, and delivery; the important question is how to address and fix them. For frequency, the obvious solution is simply to provide more feedback. In the business world, this is often easier said than done. Priority projects, important meetings, and pressing deadlines will always swallow up time for a leader. To counter this, leaders need to put feedback as its own priority.

Tips for Improving Feedback

First, schedule time on the calendar for giving feedback. Spend five or ten minutes here or there writing emails praising good work. Set up coaching feedback meetings after seeing coworkers turn in projects and deliver presentations. Remember, a majority of employees would like to receive feedback or praise weekly (Jacobsen, 2013).

Secondly, use two different approaches: positive feedback and negative, or redirecting feedback.

Positive Feedback

Use praise for reinforcing performance and individual coaching sessions for improving poor performance. For praise to be effective, it should be genuine and detailed.

Employees can easily tell if a manager is giving them insincere or false praise. False feedback is ineffective as it can discourage and frustrate employees.

To prevent this, tell employees specifically what they did well or why you as a leader appreciate them. Simply telling employees, “Great job” doesn’t tell them much, but highlighting their specific contributions and strengths will make them feel valued and drive engagement (Kaput, 2013). Strive to give employees positive feedback that is genuine, detailed, and when acceptable, public. Some employees prefer private feedback, so leaders should ask each person how they prefer positive feedback.

Negative feedback

Negative feedback, sometimes called redirecting feedback, is one of the most important skills a leader can have. Giving negative, or redirecting feedback effectively is much different from delivering praise. To start, negative feedback should be delivered one-on-one, in a private meeting. Critical comments given in front of an employee’s peers can lead to that employee feeling angry and frustrated at their leader or company (Kaput, 2013).

Negative feedback should be direct and focused on improving performance

opportunities. Researchers have found that it is useful to describe the specific undesirable behavior; don’t make generalizations or assumptions (Stone & Heen, 2013). For example, telling an employee that “rolling your eyes when someone is talking can be seen by others as unprofessional” is preferable to “you’ve got to fix that bad attitude.” Finally, be respectful and empathetic. Negative feedback is hard to hear and uncomfortable. Understanding this and learning to deliver

negative feedback in a calm, respectful manner will go a long way in making sure given feedback is received and acted upon.

Recapping the Second Practice: Set Clear Expectations and Consequences

Effective leaders know that trust grows when followers can depend on clear expectations and consequences. Take a look at the two actions that support setting clear expectations and consequences:

1. Leaders set clear expectations upfront.

As hard as it can be to boldly set expectations, effective leaders know that expectations mobilize people to action. Setting expectations early in the process of a project keeps performance on course.

2. Leaders clarify consequences in an honest and timely way.

Teachers know that consequences teach, and that good teachers only facilitate the exchange. People learn by experiencing a consequence for their actions, and adapt their behavior accordingly. Effective leaders help followers connect with consequence so followers can choose the outcomes they prefer.

To illustrate how Monty leads, Adam Bates from Flag Is Up Farms was interviewed.

Interview with Flag Is Up Farms Employee Adam Bates

Question: What type of leadership attracted you to work with Monty?

Adam Bates: Monty provides his expectation and allows you to succeed or fail. This provides the framework for adding additional skill sets in an environment that rewards positive outcomes, but understands that some individuals may not have a certain skill set.

Unlike many employers who helicopter over the menial human mistakes (“you forgot to turn off the light”), Monty looks at the big picture and sees if you are helping create a better place for horses and humans, or hindering that process. Monty understands that adrenaline drives anxiety up, and that this will cause learning to go down.

To continue reading, contact author Susan Cain for ordering information for the complete version of *Horse Sense for Leaders* or visit Amazon.com. Susan can be reached at scain@corplearning.com using the subject line “*Order for Horse Sense for Leaders.*”

Thank you.

About the Authors



Susan Cain, Ed.D., LCSW, is a business consultant and coach, mother and life-long equestrian. She is a partner with Dr. Tim Buividas at the Corporate Learning Institute, an established consultancy based in Chicago, Illinois. She serves as adjunct faculty at several Chicago area business schools. Susan's practice includes an international base of clientele. The Corporate Learning Institute provides custom-designed training solutions, strategic planning and performance coaching solutions. Learn more about Susan at <http://us.linkedin.com/pub/dir/Susan/Cain>.

Debbie Roberts-Loucks joined MPRI in 2002 to build Monty Robert's international training schedule and oversee MPRI's publishing, product development, and licensing. A graduate of UCLA, Debbie has extensive experience in sales, marketing, and new business development. Debbie's extensive background with horses, as well as her commitment to advance Monty's concepts, uniquely qualifies her to extend the MPRI brand into a global leadership organization impacting millions of individuals, companies, organizations, governments, and industries. Learn more about Debbie at <http://www.linkedin.com/in/debbieloucks>.

Find out more about Monty Roberts at www.montyroberts.com.

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Thank you to Monty Roberts for your full-fledged commitment and profound contributions to the advancement of non-violence and the importance of trust in both inter-species communication and human-to-human conversations and actions.

"I like the structure of the book, the mix of Monty's theories and experiences, plus the supporting interviews. Well done!!"

*~ Dr. Andreas Jacobs, Executive Chairman of Jacobs Holding AG,
Executive Chairman of Callebaut AG, and Vice-Chairman of Adecco SA*

..."Mr. Roberts is one of the priceless leaders throughout human history who has reached the pinnacle of success by helping others reach their fullest potential. He is a national treasure."

~ Chief Master Sergeant William D. Jones, USAF

"Monty has unlocked what many consider to be secrets of the universe with his acute powers of observation and fearless determination. He is a relatable 'everyman', filled with folk wisdom and humor akin to Will Rogers. His strength in head-on problem solving surpasses his niche market. His ability to perform strong shift behavioral changes is nothing short of genius. He is Pavlov ringing the bell, Lorenz on Aggression and Gandhi discovering the power of sitting still. Monty has discovered how to break the cycle of violence. Hand him the Nobel Peace Prize. The effects are that great."

*~ Dorene M. Lorenz, Main Anchor/Executive Producer ABC Alaska/KTBY FOX 4
at Coastal Television Broadcasting Company LLC*



Horse Sense for Leaders follows the discoveries of Monty Roberts, New York Times Best-Selling Author and Horse Whisperer, and the four trust-based practices that build strong relationships. The book provides insights into how to build trust, repair broken trust and create trust-based environments.