MAKING THE VALUE OF DEVELOPMENT VISIBLE: A SEQUENTIAL MIXED METHODOLOGY STUDY OF THE INTEGRAL IMPACT OF POST-CLASSROOM LEADER AND LEADERSHIP DEVELOPMENT

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Abstract

In a time of increasing complexity, many organizations invest in leadership development programs to prepare those who will assume the role of leader. Although many studies have evaluated programs' impact, the questions remain: does development happen in a leadership development program? If so, what kind of development? And what is the participant's experience of personal or organizational impact? The purpose of this sequential mixed methodology study is to address these three questions utilizing an online follow-through platform as a lens on 248 participants in the Center for Creative Leadership's Leadership Development Program (LDP) who reported completing their LDP goals. Those who completed their development goals in the twelve weeks following the LDP face-to-face classroom phase were asked "What was the personal or organizational impact of completing this goal?" From thematic analysis of the participant's experience of impact, a taxonomy of 82 content codes emerged; these were then clustered into eight domains of increasing interpersonal space. The codes and domains were utilized to generate frequency counts, revealing first-person accounts of impact that extended beyond the individual into interpersonal, team, and organizational domains; the reports of impact included both interior (subjective worldview and shared culture) and exterior (observable behavior, performance, structure, systems, and processes) realms highlighting the impact on individuals and collectives. Codes surfaced evidence of both horizontal and vertical development, with seven emergent hypotheses being investigated for their role in predicting inclusion in the vertical development codes. This research integrates the literature in various domains to discuss findings: leader

development, leadership development, leadership development program design, post-classroom development, adult development, horizontal development, vertical development, integral theory, hierarchical complexity, and online follow-through technology. This study helps make visible the value of development in times of increasing complexity, adaptive challenges, and a diverse workforce; development builds an ability for individuals and collectives to catalyze new insights from reasoning that is more complex. The electronic version of this dissertation is at OhioLink ETD Center, www.ohiolink.edu/etd.

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Chapter One: Introduction

Evolution of the Leadership Development Scenario

The idea of leadership has captured a sense of possibility and imagination since ancient times. Today, the discussion of leadership includes a mention of increasing challenge and complexity that effective leaders are required to navigate (Heifetz, 1994). The necessity of preparing leaders for today and tomorrow endures.

Since Plato's time, the question of how to properly prepare leaders for the challenges of leading has been under discussion (Conger, 1992). While thoughts differ about which methods, content, and experiences will prepare leaders, the underlying assumption is that leaders *can* develop (Conger, 1992; Drath, 2001; Gardner, 1996; Heifetz, 1994; Joiner & Josephs, 2007; Kegan, 1982; McCall, 1998; McCauley, Drath, Palus, O'Connor, & Baker, 2006; McCauley, Moxley, & Van Velsor, 1998; McCauley & Van Velsor, 2004), which has created a large industry of leader and leadership development. The distinction between the two is clarified below.

The literature in the field of leadership has yet to agree upon a universally accepted definition of what leadership is (Yukl, 2006). Without this, identifying what needs to develop could be an elusive pursuit. Nevertheless, "leadership development programs" abound, with indications of outcomes to be expected and stories of post-program success. The providers of these programs seek to understand what, if anything, actually changes as a result of these programs (McCauley & Van Velsor, 2004). Is it actually leader development—the development of an individual who assumes the role of leadership? Is it leadership development—the increased capacity of a collective to do the

work of leadership? As I will demonstrate, the distinction between the two has significance.

The challenges of developing leaders and leadership are many. The literature in this field of leadership development inquiry includes diverse viewpoints about who leaders are, what leadership is, what development is, if leadership is developed in leadership development initiatives, and why leadership might be important for leaders. With differing viewpoints about these questions, it would be difficult to research. The introduction, therefore, will offer perspectives on these questions and provide clarity for the research. Working definitions of concepts will address these challenges.

Another challenge of developing leaders and leadership appears in the difficulty of measuring, assessing, and evaluating leadership and documenting its development (Hannum & Martineau, 2008; McCauley & Van Velsor, 2004; Phillips, 1997). Sponsors of leader and leadership development programs within some organizations wonder if and how the learning from these programs is actually transferred back to the workplace—and if it has an impact on the leader, his or her colleagues, and/or the organization (Brinkerhoff, 1989; Broad, 2005).

These questions frame the discussion about *transfer of learning*: are the things being taught in the classroom being utilized or applied in the workplace (Broad & Newstrom, 1992)? Providing evidence of the transfer of learning—also called transfer of training, application of learning, or human-performance technology—is increasingly part of the conversation between leadership development initiative sponsors and leadership development providers (McCauley & VanVelsor, 2004), since conservative estimates

indicate “that only 15% of training content is still being applied by learners one year after training” (Broad & Newstrom, 1992; Phillips & Broad, 1997).

Transfer of learning implies using new skills within one’s existing stage of development, while development implies adjusting or changing a current meaning making structure (Boydell, Leary, Meggison, & Pedler, 1991; Palus & Drath, 1995). Transfer of learning, while it may share characteristics with development, is different from development. This research acknowledges the growing field of inquiry of transfer of learning, and seeks to understand the experience of *development* within the context of a leader or leadership development initiative. Much evaluation of the Center for Creative Leadership’s (CCL) Leadership Development Program (LDP) has indicated outcomes (Day, 2000; Hannum, Martineau, & Reinelt, 2007), but little is examined from the lens of adult development theories and the experience of its personal or organizational impact. The program is named the *Leadership Development Program*; this research investigates the participant’s experience of leader development, leadership development, or both.

Research Questions

The purpose of this research is: 1) to investigate if development occurred in the 12 weeks of CCL’s LDP; 2) if so, what kind of development?; and 3) what was the participant’s experience of any personal or organizational impact?

Definitions

For initial clarity, the following array of definitions (Table 1.1) will help orient the work; a more detailed discussion of theory follows in Chapter Two.

Table 1.1

Definition of Terms Used in This Research

Term	Definitions
Leaders:	A role (a constellation of expectations of others in a particular context at a particular time) that individuals enter into by leading (Volckmann, 2009)
Leader Development:	Individual's expansion or development which includes any learning, change, improvement, growth or transformation which allows greater effectiveness in leader roles and processes; human development (McCauley, Van Velsor, & Ruderman, 2009); expansion of consciousness or worldview (McIntosh, 2007; Volckmann, 2009); development of human capital (Day, 2000)
Leadership:	One or more people, with or without positional authority, at any level who do the work of leading: meaning-making in a community of practice (Palus & Drath, 1995); creating the container for the group to navigate complex challenges (Heifetz, 1994); using a social process to produce direction, alignment, and commitment (McCauley & Van Velsor, 2004); an emergent property of social systems rather than something added to an existing system (Day, 2000); a complex set of leader roles, processes, and relationships that evolve over time in the life of a system (Volckmann, 2009); influencing a

	group towards the achievement of a vision or set of goals (Robbins, Millet, & Waters-Marsh, 2004)
Leadership Development:	The process of developing leaders (Allen, 2006); expansion of individual's or collective's capacity to be effective in leader roles and processes (McCauley & Van Velsor, 2004); increasing capacity to develop an individual or collective's ability to deal with complexity within the context of leading; enhancing the potential of those in leader roles to support engagement with others in working towards an organizational objective or goal, or changing the system (Volckmann, 2009); development of social capital—building networked relationships among individuals that enhance cooperation and resource exchange in creating organizational value (Bouty, 2000; Day, 2000; Ghoshal, 2005); integration strategy, "helping people understand how to relate to others, coordinate their efforts, build commitments, and develop extended social networks by applying self-understanding to social and organizational imperatives" (Day, 2000, p. 586); "active, intentional forward looking process that seeks to enhance the collective capacity of organizational members and the organization through human-centered, goal inspired relationships" (Olivares, 2008, p. 531)
Development:	Changes that occur over time due to maturation process and

	learning; growth and development of the mind; interior development and consciousness evolution (McIntosh, 2007); development of meaning making processes across the lifespan (Palus & Drath, 1995); expansion of worldview (how one defines reality/frame of reference) to include new ideas, beliefs, or values (Volckmann, 2008); increasing cognitive (theoretical, reasoning), emotional (sensitivity, empathy), and value (developing one's worldview) intelligences (McIntosh, 2007); increased capacity to deal with complexity (Commons & Richards, 2002; Ross, 2008)
Developmental Shift:	Any learning, change, improvement, growth, expansion, development, shift in perspective, or transformation (McCauley & Van Velsor, 2004)
Horizontal Development:	Learning (a new skill, for example); new information is accommodated within existing structures or underlying frameworks in making sense of it; single loop learning (learning to repeat a task); double loop learning (learning new ways of doing work) (Argyris & Schön, 1978)
Vertical Development:	Reorganization of epistemology to make sense of new information; increasing ability to deal with complexity; adult development; triple loop learning (learning about the learner) (Volckmann, 2008)
Transfer of Learning/	The effective and continuing application by learners—to their

Application of Learning:	performance of jobs or other individual, organization, or community responsibilities—of knowledge and skills gained in learning activities (Phillips & Broad, 1997)
Leader's Job	To help others better participate in the leadership process—in doing so, leadership capacity is developed throughout an organization (Day, 2000)

The key distinctions are about leader as a role that individuals enter into by leading; leader development as an increase in individual capacity (human capital); and leadership development as an increase in a system's or collectives capacity (social capital).

Leaders and Leadership for Complex Times

Burns (1978) refers to leadership as "one of the most observed and least understood phenomena on earth" (p.2) although it has not always been so. He asserts that,

> For two millennia at least, leaders of thought did grapple with the vexing problems of the rulers vs. the ruled. Long before modern sociology Plato analyzed not only philosopher-kings but the influences on rulers of upbringing, social and economic institutions, and responses of followers. Long before today's calls for moral leadership and 'profiles in courage,' Confucian thinkers were examining the concept of leadership in moral teaching and by example. Long before Gandhi, Christian thinkers were preaching nonviolence. Long before modern biography, Plutarch was writing brilliantly about the lives of a host of Roman and Greek rulers and orators, arguing that philosophers 'ought to converse especially with "men in power"' and examining questions such as whether 'an old man should engage in public affairs.' (p.2)

The realm of what a leader "should" focus on is vast and may vary according to who is describing leadership, as above. There is discussion about what roles a leader "should" occupy: ruler, king, philosopher? The differing viewpoints contribute to the challenge of understanding what leadership *is* (Yukl, 2006), sometimes conflating ruler

with the concept of leader or leadership. Even over the centuries there has not been alignment or resolution.

Those who assume the role of leaders in current times, as has been the case throughout history, also face challenges. Leadership is complex, incorporating vision, inspiration, communication, and management of change (Conger, 1992). Internal changes to organizations, market dynamics, shortage of talent, globalization, and greater competition are all contributing factors to the rise of these complex challenges (Criswell & Martin, 2007; Ryan, 2008)—challenges for which no existing solutions are evident (Heifetz, 1994). Current research outlining the changing nature of leadership—the shifting of power and decisions from one person to more people, which requires building collaborative relationships—focuses on the complexity that leaders are required to deal with in order to be effective (Criswell & Martin, 2007). Rost (1991) calls for a post-industrial, relational, mutually beneficial, and deliberative leadership to guide current affairs (Roberts, 2005).

Complex challenges, those for which no preexisting solutions or expertise exist, (Heifetz, 1994) demand a new kind of leadership (Alexander, 2006). Heifetz (1994) suggests "…we should be calling for leadership that will challenge us to face problems for which there are not simple, painless solutions—problems that require us to learn new ways" (p. 2).

Heifetz (1994) believes that a task of leadership is to create an environment where the group can successfully navigate these complex challenges. But is it possible to prepare leaders to learn new ways to deal with these current challenges? What would that individual preparation look like? O'Toole (2004) believes that leadership, as a collective

capacity, can be developed as change becomes ongoing and organic, not imposed. Some organizations view leadership as a source of competitive advantage (Day, 2000). If it is source of competitive advantage, is there a way to accelerate development for leadership?

Preparing Leaders: The Industry of Leadership Development

A question has long plagued the discussion of leadership: are leaders born or made? If leaders are born, not made, then education, training, and development would need to happen only for those who are born to those roles. If one believes that those who assume the role of leader or do the work of leadership *can* develop, then an understanding of how to develop leaders and leadership becomes critical to effectively prepare those who lead to face current complex challenges. Although the debate is rich—and beyond the scope of this research—development for leaders is considered a possibility by many (Bennis, 2003; Conger, 1992; Drath, 2001; Hannum & Martineau, 2008; Joiner & Josephs, 2007; Kegan, 1982; McCauley & Van Velsor, 2004; Northouse, 2004; Senge, 1990; Vaill, 1998). Genes and childhood experiences are important raw materials, but training and work experience are also important (Conger, 1992). Some authors believe that anyone in any role can be developed to be a more effective leader (Conger, 1992; Cook-Greuter, 2004; Day, Harrison, & Halpin, 2009; Martineau, 1997; McCauley & Van Velsor, 2004; Rooke & Torbert, 2005). The view that leadership can be developed is a premise which informs CCL efforts to develop leadership with its programs since 1970 (McCauley & Van Velsor, 2004). CCL's position is that there are capabilities that can make anyone more effective in leader roles and processes (McCauley et al., 2009), which is an impetus for its portfolio, as well as a burgeoning industry.

Plato is credited with setting out a vision for the first leader and leadership development training (Conger, 1992). Although his ideas were about developing the capacity of a ruler to rule, the notions of leading and ruling are often conflated. Development of rulers would take decades with Plato's program—his candidates would be ready to rule at age fifty—but the world wanted candidates of action, as well as reflection, and this was considered a lengthy effort requiring enormous resources (Conger, 1992). Plato's programs were never implemented, remaining an ideal. Just how much time and how many resources can or should we invest in developing rulers, leaders, and leadership?

The challenge Plato faced—developing a leader takes time— has informed our leadership development thinking today even though ruling and leading are differentiated. Individuals can engage in development over a lifetime by addressing challenges of their environment or of their choices (Volckmann, 2008). One strategy to develop people is to augment life's development in preparation for occupying the role of leader (Day, 2000). Robert Dorn, designer of CCL's LDP, created a twelve-week classroom experience for developing leaders in the 1970's that morphed to a three-week classroom experience and today is a five-day classroom experience with three months of online follow-through for sustaining development. Development does, as Plato believed, take time; it is a process more than an event (Day, 2000; McCauley & Van Velsor, 2004).

Although there are different ways of learning and developing outside the classroom—experience, stretch job assignments, promotion, one-on-one coaching, or mentoring, for example (Cook-Greuter, 2004; Hannum & Martineau, 2008)—classroom delivery experiences account for an estimated 85% of training experiences (ASTD,

1995). Organizations invest heavily in developing leader talent with industry investment estimates ranging from $100 billion per year on training (Baldwin & Ford, 1988) to more than $200 billion annually on training interventions (Salas & Cannon-Bowers, 2001).

To address the growing demand for developing leadership talent, a proliferation of leader and leadership development programs utilizing diverse methodologies and content have emerged in this industry. There are in-house training events, academic university offerings and leadership development providers facilitating initiatives for those who seek to develop their leader/leadership capacity (Conger, 1992). Programs can reflect the background of the designer or founder; for example, the programs designed by former Peace Corp members emphasize helping and empowering people while courses founded by academics might be focused on research-based paradigms (Conger, 1992).

An early trend in *leadership development programs* including LDP, was to name them *leadership development* regardless of whether or not leader development or leadership development was the purpose. They reflected an individual focus—a focus on the person who occupies the position of leader or role of leader. A role implies a set of expectations about what individuals bring and do in a particular context facing particular challenges. Later programs focused on the social role, not just the task role of the leader as a complex, relational process (Day, 2000). The context, in addition to individual and social aspects of the role, should be taken into account (McCauley & Van Velsor, 2004). The inclusion of the context within which leading happens extends the conversation past the individual with traits and characteristics, to the interaction of the individual with others, and with the organization, society and culture.

Identifying Leaders: Who Are They?

Conger (1992) believes that "leaders are individuals who establish direction for a working group of individuals, who gain commitment from these group members to this direction and who then motivate these members to achieve the direction's outcomes" (p. 18). However, if a definition includes the notion of success or achievement of outcomes, a problem arises when outcomes are not achieved. Noteworthy efforts and great leaders may not, by that definition, qualify as such. Progress and success can be left out of definitions, since many variables impacting outcomes are beyond the control of those engaged in the intentions of leading. Other definitions leave out any notion of success by defining leaders as those who take on the roles of leading—whether formal positions of authority to take action or informal roles without positional authority (McCauley & Van Velsor, 2004; Volckmann, 2008). A role is the constellation of expectations of others in a particular context at a particular time (Volckmann, 2009). This highlights the importance of time in leading and leadership, as well. If leader is a *role* rather than an individual, then development involves enhancing the potential of anyone in such a role to support and generate progress with others toward achieving, or in pursuit of, an organizational objective or goal (Volckmann, 2008).

Since many people will take on these roles at some point of their personal, social, or organizational life, some discussions focus on the capacity for assuming the role, rather than the person/entity (Day, 2000). This steers the conversation away from the "leader" or "non-leader" classifications and towards an inclusive (a web of individuals stepping up and contributing different capacities—not just one individual), relational

(happening as a result of our interacting with each other), and process focus (more than just outcome focus) (Drath, 2001) where leaders create a container for the group to successfully navigate the complex challenges (Heifetz, 1994).

What is Leadership?

For many scholar practitioners there is a difference between leading and managing. Since this research looks at the more complex task of leadership, a look at the difference between the two is in order. Although the field has yet to agree upon one definition of leadership (Yukl, 2006), this study seeks clarity in using the definitions presented. The distinction between leadership and management also lends clarity to the conversation, given the continuing controversy about the difference between leading and managing. Yukl reports

> some writers (e.g., Bennis & Nanus, 1985; Zaleznik, 1977) contend that leadership and management are qualitatively different and mutually exclusive. The most extreme distinction involves the assumption that management and leadership cannot occur in the same person. In other words, some people are managers and other people are leaders. The definitions of leaders and managers assume they have incompatible values and different personalities. Managers value stability, order, and efficiency, whereas leaders value flexibility, innovation, and adaptation. (p. 5)

This would assume they each have different values or personalities (Yukl, 2003) where "managers are people who do things right and leaders are people who do the right thing" (p. 5), which is not supported by empirical research (Yukl, 2006). Yukl encourages people to be managers (in formal positions of a hierarchy) and to also be leaders—two different roles. Thinking in terms of roles allows people to move in and out of them, and avoids the confusion of defining one person as leader, and another as manager.

Kotter (1996) believes that leadership and management are not the same thing, although both are necessary for an organization to succeed. He understands their core

processes and outcomes to be different: management produces status quo, predictability, and order, while leadership seeks organizational change. Klann (2007) asserts "we lead people and manage things" (p. 3). The most effective integration of management and leadership depends on situation and context.

Vaill (1998) does not differentiate between the two and uses the term *managerial leadership* to underscore that fact that leaders do both managing *and* leading. These fields are not separate in his thinking where managing is considered a performing art within chaos and the presence of constant change (Vaill, 1989). Burns, in his 1978 classic *Leadership,* asserts that transformative leadership—as opposed to management—requires a mastery of self in a context of knowing oneself and the world to lead (Couto, 2005). Leadership is about making those things happen over time. Management's work is around "the facilitation and coordination of the day-to-day work in organizations" (p. 14). While this is a convenient distinction, the differentiation and integration of both within a human system is important for that system's functioning.

Palus and Drath (1995) regard leadership as meaning-making in a community of practice, which happens within the complexity of leading people with different values, attitudes, and beliefs. This enlarges the scope of the definition beyond one person. Yukl (2003) uses a definition which broadly recognizes that leadership is the success of a collective effort towards meaningful tasks:

> Leadership is the process of influencing others to understand and agree about what needs to be done and how it can be done effectively, and the process of facilitating individual and collective efforts to accomplish the shared objectives. (p. 7)

This research will focus on the role of leader/leadership as opposed to the day-to-day coordination/management. Leadership, in this research, will refer to one or more

people, with or without positional authority, at any level who assume(s) the role of leader within a culture or system:

- meaning making in a community of practice (Palus & Drath, 1995)
- creating the container for the group to navigate complex challenges (Heifetz, 1994)
- using a social process to produce direction, alignment, and commitment (Mc Cauley & Van Velsor, 2004)
- developing social capital—building networked relationships among individuals that enhance cooperation and resource exchange in creating organizational value (Bouty, 2000; Day, 2000; Ghoshal, 2005)
- "helping people understand how to relate to others, coordinate their efforts, build commitments, and develop extended social networks by applying self-understanding to social and organizational imperatives" (Day, 2000, p. 586)
- active, intentional forward looking process that seeks to enhance the collective capacity of organizational members and the organization through human-centered, goal inspired relationships (Olivares, 2008)
- influencing a group towards the achievement of a vision or set of goals (Robbins et al., 2004)
- people working together to inquire into present realities, to develop common understandings about what they want to achieve, and to marshal energy to make their preferred futures eventuate (Dunoon, 2008)

What Is Development? What are the Sources of Development?

To understand leader and leadership development it is first important to have a "sound foundation in human development and especially adult development" (Day et al., 2009). Allen (2006) cites a lack of intentionally incorporating adult learning theory in leadership development initiatives. Whereas child development "is driven to a large degree by biological maturation processes, adult development is driven mainly by experience" (Day et al., 2009, p. xiii). Developmental psychology is

> about the growth and development of the mind—the study of interior development and consciousness evolution. The waves of development emerge and unfold allowing progressive subordination of older lower-order behavior systems to newer, higher-order systems as an individual's existential problems change. Each wave… is a state through which people pass on their way to other states of being. There is a psychology associated with the state which will encompass feelings, values, motivations, neurological activation, belief systems, learning systems, and theories of leadership appropriate for that state, wave. (Wilber, 2000b, p.5)

Development is different from learning, but often confused with it (Palus & Drath, 1995). Learning happens when new information is accommodated within existing structures or underlying frameworks—*horizontal development* (Thomas, 2008). Learning is about increasing what one knows. Sometimes the existing frameworks cannot accommodate new information, but the person accesses a new stage or *reorganizes one's epistemology* (Piaget, 1995) to encompass and better organize complex information. This is the motion of *vertical development* (Thomas, 2007). In *vertical* development, the way of knowing—the epistemology (Braud & Andersen, 1998)—must be revisited since the pre-existing way of knowing about people and the world no longer is acceptable and new thoughts and experiences need to be accommodated. Vertical development deals with how one knows—how one makes sense of the world. This way of knowing is revised,

while transcending and including the pre-existing way of knowing. *What one knows* is as important as *how one knows*, according to Harris and Kuhnert (2008).

Constructive-developmental theory highlights how "growth and elaboration of a person's ways of understanding the self and the world" (McCauley et al., 2006, p. 647) is more *vertical* and developmental while learning—*horizontal*—is about increasing what one knows (learning a new tool or technique).

Argyris and Schön (1978) make distinctions about different ways of learning, referring to single loop learning as repeating a task; double loop learning as learning new ways to do the work; and triple loop learning as learning about the learner. Horizontal/vertical development and single, double, triple loop learning are ways of thinking about shifts that might occur after a developmental experience.

Development is about increasing an ability to listen to, make sense of, and find value in different contributions and viewpoints (Kegan, 1982). Adult development theory brings the fields of education, counseling, social organizational psychology, and political science together in the conversation of leadership (McCauley et al., 2006).

A growing number of theorists—Kegan, Cook-Greuter, Torbert, Kohlberg, Wilber—see human growth and development as a series of unfolding stages or waves (McIntosh, 2007). A second-tier consciousness–called post-conventional or interdependent—marks a significant jump in capacity to deal with complexity: from concreteness to abstractness, and from a categorical self to reflective emotions (McIntosh, 2007; Kegan, 1982). More subtle distinctions are included in the *Model of Hierarchical Complexity* (Commons & Richards, 2002; Ross, 2008), which notes the transition steps of development or evolution formed by "coordinating two or more task-

actions at the preceding, lower order in a nonarbitrary way" (Commons & Richards, 2002, p. 362).

Upon moving through a sequence of transition steps—fractal steps—new patterns of increasing complexity emerge, allowing performance or sense-making at the next stage (Ross, 2008). The Model of Hierarchical Complexity (Commons & Richards, 2002; Ross, 2008) addresses the *how* of development and the transition steps required to pass from one order of complexity to the next. Each successive developmental movement includes and transcends all previous levels, which allows a reasoning that is increasingly complex (Ross, 2007). Each step or transition in development is a hierarchical building block, which can be built upon. This has implications for leading—the greater a leader's development, the more that leader might influence and understand individuals in different developmental contexts (Harris & Kuhnert, 2008). Volckmann (2009) asserts

> it does seem, as problems become more complex, that we need individuals capable of addressing those problems through sophisticated, higher stages, of capacity for problem solving and decision making at these higher levels. (p. 7)

This development happens in interior *and* exterior realms—presenting opportunities to assess both subjective and objective realms. McIntosh (2007) considers that development means increasing *cognitive* (theoretical, reasoning), *emotional* (sensitivity, empathy), *and value* (developing one's worldview) *intelligences*, not simply cognitive intelligence. This view means leader development is an expansion of consciousness (McIntosh, 2007) which provides not only a "new way of seeing things, but also a new way of arriving at creative solutions—a new epistemological capacity" (p. 82). Chatterjee (1998) understands leadership as a state of consciousness.

Expanding the consciousness within an internal realm is likely to impact external behaviors as well (Wilber, 2000a). Integral theory (McIntosh, 2007; Wilber, 2000a) proposes a lens for examining both interior *and* exterior realms of individuals *and* collectives. This also encompasses the interactive nature of development in the resulting four quadrants which represent subjective, inter-subjective, and objective dimensions realms in a model sometimes referred to as *All Quadrants All Levels-or AQAL* (Figure 1.1). Each stage or level of development in a quadrant represents a level of organization or complexity and is represented by diagonal lines through each quadrant—the further from the center, the greater the complexity.

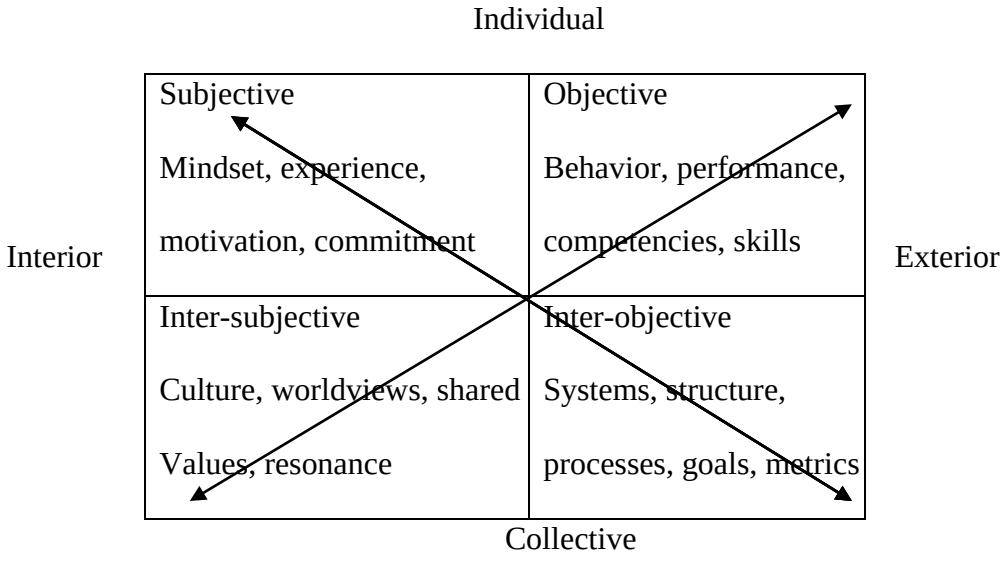

Figure 1.1. The All Quadrants All Levels (AQAL) Integral Theory framework.

Using the integral lens, integral leadership reflects "a sphere of leadership where interior development and exterior structures are aligned to support and sustain organisms—people, businesses, the environment, and one another (Schmidt, 2007). Development is implied for individuals as well as organizations and systems.

Wilber (2007) also uses a *psycho-graph* to represent the many facets of development: parallel lines drawn in a quadrant to represent cognitive, moral, emotional, interpersonal, psychosexual, or spiritual development. They are also referred to as multiple intelligences in some theories (Bass & Riggio, 2006; Gardner, 1993).

In addition to stage development, the *sociogenetic* perspective on development from the Vygotsky school (Volckmann & Edwards, 2006) posits that the interaction between people mediated by words and gestures is the source of development. The space between individuals *is* the mediating process for growth (Nicolescu, 2007). In relational theory, development happens in our relations with each other (Fletcher, 2008). If development does happen in our encounters and dialog with each other then the workplace or social systems are inherently places that offer potential for learning, growth, and development. This provides an accessible option to leaders seeking development, even outside of leadership development classrooms.

Constructive-developmental perspective considers development to mean "reviewing or re-constructing what is assumed to be *the way things are* so that those things become *something I can affect*" (Drath, 2003, p. 1). Harris and Kuhnert (2008) signal evidence of development in three domains: intrapersonally (within an individual) as a shifting focus from what others expect of one's self to self-authorship; interpersonally (between people), as a shift from focus on self to focus on others; and cognitively as an increased ability to deal with complexity. These domains provide the structure of the literature review in Chapter Two, and will provide structure for levels of analysis for this research.

Development, then, will refer to

- changes that occur over time due to maturation process and learning (Allen, 2006)
- growth and development of the mind (Wilber, 2000a)

- interior growth and consciousness evolution (McIntosh, 2007)
- expansion of meaning making processes across the lifespan (Drath, 2001)
- expansion of worldview (how one defines reality; frame of reference) to include new ideas, beliefs, or values (Graves, Cowan, & Todovoric, 2005; Beck & Cowan, 2006)
- increasing capacity to operate at higher levels of task complexity, or complexity of reasoning (Ross, 2007, 2008)
- shift in perspective (Avolio, 2005)
- increasing cognitive, emotional, and value intelligences (McIntosh,2007)
- increasing human or social capital (Day, 2000; Day et al., 2009)

What is Leader Development?

Leader development happens at many levels in an ongoing fashion throughout a lifetime (Day et al., 2009). McCauley et al. (2010) refer to it as "the expansion or development which includes any learning, change, improvement, or growth or transformation which allows greater effectiveness in leadership roles and processes" (p. 2). McIntosh (2007) refers to it as the expansion of consciousness—a new epistemological capacity. Avolio (2005) refers to it as a shift in perspective.

Then how do people expand, learn, change, improve, grow, transform, or develop the capacity for leading? The 1970's and 1980's brought increasing interest in the subject of leadership and its process (Conger, 1992). While early trends in leadership development programs reflected an individual focus—leader development—later programs focus on the social role, not just the task role, of leadership as a complex, relational process (Day, 2000; Wheatley, 1992). Training approaches that focus only on individual development ignore the 50 years of research identifying the complex

interactions in social and organizational environments that leaders must navigate (Allen, 2006). The Western values of individualism and achievement have focused much of the early discussion about leadership, and programs for its development on the individual (Hoppe, 2001). But note that leader development is considered one part of a larger conversation about leadership which is located within a larger context (McCauley et al., 2009; Wheatley, 1992).

Some leader development models, in alignment with adult development theory, include elements of assessment, challenge, and support—thought to make the developmental experiences, whether in the workplace or in the classroom, rich and powerful (Kegan, 1982; McCauley et al., 2009). The creation of dissonance, in the form of leaderless group exercises and assessment data, is intentional in order to stimulate the leader to re-examine existing worldviews and paradigms (McCauley & Van Velsor, 2004). In concert with one another, strategies including but not limited to classroom, developmental assignments, and coaching can be effective strategies for developing leaders and developing leadership (Hernez-Broome, 2002).

Constructive-developmental theory and *sociogenetic* theory indicate that development can happen in many ways, including life experience, on-the-job assignments, social interaction with others, and classroom-based initiatives (McCauley et al., 2006). Increasing self-identity can be developmental (Day et al., 2009), so classroom-based initiatives—which account for 85% of leadership training initiatives—will often include assessment and feedback for the individual. Dorn (2002) argues that as a result of individual leader development, leadership within an organization may also be developed;

a leader's understanding of relational, inclusive, and complex elements of leadership can be shared with others.

What is Leadership Development?

Day (2000) agrees with Dorn, believing that a leader's job is to "help others participate in the leadership process. In doing so, leadership capacity is developed throughout an organization" (p. 52). Rooke & Torbert (2005) believe that enhancing one's capabilities can help transform our organizations. Bob Dorn also anticipated the effect of development on organizations (Dorn, 2008; McCauley & Van Velsor, 2004) as he designed the program that continues 30 years later. This is important given the number of individuals who have attended and still attend leader development initiatives designed for individual leader development but still named *leadership* development—and are faced with the challenge of impacting collectives upon their return.

Although differentiation is utilized for definition of concepts, leader development and leadership development are interrelated processes (Day, 2000) (Table 1.2).

Table 1.2

Differentiating and Integrating Concepts of Leader Development and Leadership Development, as Viewed by Three Sources: CCL, Day, Volckmann

	CCL	Day	Volckmann
Leader Development	Individual based knowledge, skills, ability, associated with expansion or development which includes any learning, change, improvement, growth or transformation that allows greater effectiveness in leadership roles and processes (McCauley et al., 2009)	Increasing human capital (Day, 2000)	Enhancing the potential of anyone in the role of leader to support and generate progress with others in working towards an organizational objective or goal, expansion of worldview (Volckmann, 2009)
Leadership Development	Expansion of individual's or collective's capacity to be effective in leadership roles and processes (McCauley et al., 2009)	Increasing social capital (Day, 2000)	Expansion of a system's capacity (vs. individual capacity) (Volckmann, 2009)

Leadership development shifts the focus from the individual role to the collective role—from the idea of expanding the capacity of one person's heroic deeds to the possibility of expanding shared and inclusive leadership capacity (Drath, 2001). Day et al. (2009) differentiate leader development (entity based) approaches from leadership development (process) approaches—a shift away from focus on the behavior of an individual to the process of doing leadership together (Palus & Drath, 1995). Volckmann (2009) views leader development as an expansion of capacities and perspectives of the person who assumes the role of leader, and leadership development as expansion of a system's capacity. Beyond developing an individual—leader development—is the development of an organizational capacity for leadership—leadership development.

Leadership development is about developing the capacities of the stakeholders; it is about how leaders, followers, groups, or organizations can develop shared leadership responsibility (Bass & Riggio, 2006), a more collective process.

An integral lens is used by many (Cacioppe & Edwards, 2005a; Cowan & Todorovic, 2007; Rooke & Torbert, 2005) to increase the level of analysis to include both objective and subjective variables in collectives. An integral theory of organizational development could include "organizational theory literature, systems theory, developmental psychology, cultural theory, spirituality, and other relevant disciplines" (Cacioppe & Edwards, 2005a, p. 87). The framework would need to take into consideration development of personal and social domains, as well as their interactions. Using a *holon*—a part/whole level of analysis—for an organization can reflect a more collective perspective. Below (Figure 1.2) is a *holon* for an organization instead of an individual; it cannot not show all levels or sequences, but does provide a collective perspective.

Individual

Interior Life of the Organization	Organizational consciousness	Organizational behavior	Exterior Life of the Organization
	Organizational culture	Organizational structural systems	

Collective

Figure 1.2. A holon for organizations.

(adapted from Cacioppe & Edwards, 2005a)

As with the individual holon, the organization holon includes levels, sequences, and development even though not shown in Figure 1.2. Organizational change can happen in a continuous, transactional manner or in a more dramatic, transformative manner. Internal changes need to reflect and match what is happening in the environment with what is happening in the internal dynamics of the organization (Cacioppe & Edwards, 2005a). Growth and social development along quadrants and lines are as relevant for organizations as they are for individuals.

Much like the application of integral theory to the leadership development, the application of integral theory to organization development offers stage-based models of development an important place in the discussion. This is also evident in social evolution and in collectives. The lines of organizational development include "culture, goals, customer and community relations, ethics, and corporate morals, marketing, governance, and leadership" (Cacioppe & Edwards, 2005a, p. 90). But there is more to integral theory than simply development.

Organizations need fundamental balance across the interior/exterior quadrants of identity—their sense making structures in balance with behavioral and operations systems (Volckmann & Edwards, 2006). Are learning styles of hands-on technical balanced with conceptual ones? Is the communication structure (LR) allowing information to be accessed as necessary? Large-scale and whole systems change requires development of individuals' and collectives' interiors as well as the interplay between interiors and exteriors (Schmidt, 2007).

Although differentiation between leader development and leadership development has been made here, either approach in isolation of the other is incomplete (Day, 2000);

their integration suggests a more comprehensive paradigm for accelerating development in order to prepare leaders for navigating the complex work of leading (Day, 2000). Gauthier (2008) believes that leader development can be accelerated with short consciousness-based intensives combined with real-world practice (peer learning, mentoring, and coaching). We also know that the voyage of development is not for everyone—some are more willing to undertake it than others (Rooke & Torbert, 2005)—and that attending a program does not guarantee learning, change, or development (McCauley & Van Velsor, 2004). But why would individuals and collectives bother with development?

Why Should Leaders Develop?

The work of leading is increasingly complex (Criswell & Martin, 2007; Hesselbein & Goldsmith, 2006), relational (Drath, 2001; Fletcher, 2008), and inclusive (Hoppe, 2001). Complex or *adaptive* challenges—those for which no existing solutions or approaches will be adequate—demand new ways of thinking, reflection, and collaboration (Heifetz, 1994; Hesselbein & Goldsmith, 2006) from leaders. Heifetz (1994) views leadership in terms of *adaptive work*, which

> consists of the learning required to address conflicts in the values people hold, or to diminish the gap between the values people stand for and the reality they face. Adaptive work requires a change in values, beliefs, or behavior. The exposure and orchestration of conflict—internal contradictions—within individuals and constituencies provide the leverage of mobilizing people to learn new ways…the inclusion of competing value perspectives may be essential to adaptive success. (p. 22 -23)

Many organizations invest heavily in developing those who will face the demands of leading. Leading a changing workforce impacted by globalization, immigration trends, diversified consumer base, and shifting demographics (Bordas, 2007) requires individuals

in leader roles with increasingly broader worldviews—those that are effectively able to lead a diversity of styles, thought, values, and beliefs (Hoppe, 2001). Those with broader worldviews can deal with change more effectively and handle resistance better (Harris & Kuhnert, 2008). As change accelerates, complex or adaptive challenges increase (Joiner & Josephs, 2007); development builds the capacity to deal with increasing task complexity and to catalyze new insights from reasoning that is more complex (Commons, 2002; McIntosh, 2007; Ross, 2007).

A relationship exists between "personal development and leadership effectiveness: as adults grow toward realizing their potential, they develop a constellation of mental and emotional capacities" (Joiner & Josephs, 2007, p. vi). *Leadership agility*, the "master competency needed for sustained success in today's turbulent economy" (p. v) promises increasing ability to appreciate and value a different viewpoint. Increasing this *leadership agility* means using "everyday initiatives to develop stage-related capabilities and leadership competencies at the same time" (p. x). Leadership agility is the "ability to take wise and effective action amid complex, rapidly changing conditions" (p. 6).

Development can be a critical component of this leadership. Research conducted by Rooke and Torbert (2005) shows that those who undertake a voyage of personal understanding and development can transform not only their own capabilities but also of those around them in their organizations. As an adult develops the capacity to deal with complexity, demonstrates openness to other ideas and styles, he develops an increasing ability to be relevant across styles, values, and beliefs. We have seen the literature indicate more complex challenges and increasing diversity in the work force (Criswell &

Martin, 2007). Development—expansion of worldview—equips a leader with additional skills to use in the role of leader, and to transform those around them and their organizations (Harris & Kuhnert, 2008; Rooke & Torbert, 2005). This is what Bob Dorn anticipated when he designed the LDP, in 1970 (McCauley & Van Velsor, 2004). It is also what Schmidt (2007) emphasizes as he considers the challenges of developing those who will fill the role of leader:

> These disruptions, shocks, and ensuing calls for change will require interior resilience and capacities at the most advanced levels in order to respond appropriately. Without later stage development of interiors, we will likely live and contend with the same conventional work-arounds that stem from conventional leadership worldviews.
>
> The magnitude of change at all levels calls for radical shifts in vertical development—shifts involving how we learn to see through a new lens, how we change our interpretation of what is experienced, how we transform the fundamental nature of our view of reality. Development is this regard focuses on transformations of consciousness.
> (p. 28)

The Challenge of Evaluating Leadership Development Programs

Assessing, measuring, and evaluating the outcomes of leader and leadership development initiatives is a complex pursuit (Hannum & Martineau, 2008). On one hand, empirical research on leadership tends to have contradictory findings or inconsistent results (Harris & Kuhnert, 2008). On the other hand the diverse leadership development offerings contribute to the difficulty of understanding impact. The developmental focus of many programs encourages a participant to carefully assess—sometimes through multi-rater feedback or psychometric tools—what the next step in developing as a leader might be. This promotes highly unique experiences and outcomes of a program since each leader sets his/her own developmental direction. This further complicates evaluation (McCauley & Van Velsor, 2004). Deciding what to measure is difficult, and trying to

compare before and after measurements is riddled with the complexity of rater shift bias—shifting expectations of those who have attended a program to develop leadership—and other factors (Hannum & Martineau, 2008). Therefore determining metrics and assessment strategies is complex, requiring "more than applying a set of tools" (p. 5).

Allen (2006) considers that only 10% of program evaluations measure past Kirkpatrick's (1998) level one—the participant's initial reaction to the experience. Further levels would analyze what was learned, if the learning is applicable, and if the learning is applied, but many programs are content to count how many attendees, and final enjoyment ratings as metrics. Satisfaction, however, may not result in learning (Day, 2000). This is one challenge of assessing leader and leadership development programs' effectiveness.

Some authors (Hannum & Martineau, 2008; Harris & Kuhnert, 2008; McCauley & Van Velsor, 2004) believe that only measuring outcomes such as performance measures—profit, cost reduction, turnover—are limited since there are so many contextual variables besides a leader development program that could intervene: market, competition, mergers, or the economy (Hannum et al., 2007). There are increasing calls for methodologies besides quantitative measures that will allow observers to see impact and outcomes (Hannum & Martineau, 2008; Mitroff & Denton, 1999) of developing leaders in interior and exterior realms. Wilber (2007) sounds the call for Integral Methodological Pluralism (integrating methodologies). Gauthier (2008) calls for a combination of *Left Hand* and *Right Hand Paths*, referencing both interior and exterior realms.

Development can be inside-out focusing on changes in the inner world of perceptions and worldviews that lead to observable behaviors in the outer world. It can also be outside-in by behaving differently and as a result changing the inner world (Day et al., 2009). Measuring only the outer performance or observable behavior gives a limited picture of inner change or development. Observing and measuring the outwardly evident is called the *Right Hand Path* (Gauthier, 2008; McIntosh, 2007).

A more comprehensive view of leadership development includes both *Right Hand* and *Left Hand*—the subjective and inter-subjective experience. Gauthier calls for more emphasis to be placed on the *Left Hand*, or subjective, knowledge as we assess leaders and leadership development, although measuring development is complex. Integral theory (Volckmann, 2005) would advocate assessing the quadrants (interior, exterior, individual, and collective) and their interplay. Laske (2006) calls for distinguishing between inner and outer workplace ascertaining that people think about or internally construct their workplace. This construct, according to Laske (2008), is a question of development, rather than competence. This study will focus on the participant's construct of working towards and completing a developmental goal.

The transfer of learning conversation identifies some challenges facing leadership development in driving transfer of learning from the classroom to back home environments. The increasing pressure from organizations to leadership development providers is to state the business impact or return on investment and to understand the impact beyond enjoyment, return on investment, and behavioral observations (Hannum et al., 2007), both the *Left and Right Hand* paths.

Worldwide, organizations are demanding evidence of performance outcomes—beyond immediate enjoyment ratings at the end of the initiative—in the form of sustained performance (Phillips & Broad, 1997; Wick, Pollock, Jefferson, & Flanagan, 2006). Leadership development providers are challenged to find concrete ways to measure the impact (Hannum & Martineau, 2008; McCauley & Van Velsor, 2004)—usually looking to cost savings, return-on-investment, or increased profit as objective (*Right Hand* indicators) (Flanagan, 2004). Personal and organizational contextual factors can make concrete numbers difficult to obtain even though anecdotal comments suggest value in the investment of leadership development initiatives (Hannum & Martineau, 2008; McCauley & Van Velsor, 2004). Gauthier calls for increased valuing of both *Left Hand* and *Right Hand* indicators of development. Other studies (Wilson, 2005) have reported benefits from activities including, but not limited to, classroom training. This study will not attempt the *Right Hand* return-on-investment discussion validated by exterior observation as much as focus on understanding the *Left Hand* subjective experience of impact from working towards developmental goals.

In sum, measuring leadership development is challenging (Hannum & Martineau, 2008; Harris & Kuhnert, 2008). There are subjective measures as well as objective measures and relevant measure would, to some extent, depend on the definition of leadership development and/or the intent of the initiative.

This exploratory study will use the lens of an online follow-through platform—where participants document their process of working towards their goal and the impact that brings—to watch leaders after a classroom phase of the LDP. *Agency*—intentionally influencing one's self, others, and life circumstances (Olivares, 2008) —is expressed as a

participant finishes the classroom week by choosing the developmental goals he/she will work on. As each participant achieves a goal, either a *Left or Right Hand* indicator, she is asked to reflect on the personal and organizational impact of completing that goal. Constructivism is the underlying paradigmatic construct which values the participant's subjective meaning-making responses and can view them as truth constructed by the participant.

Constructivism

A *constructivist* worldview—"the understanding or meaning of phenomena, formed through participants and their subjective views, make up this worldview" (Creswell & Clark, 2007, p. 22)—therefore is where the philosophical stance of the research begins. The participants, sharing a response in the online platform, "provide their understandings, they speak from meanings shaped by social interaction with others and from their own personal histories…in this form of inquiry, research is shaped from the bottom up, from individual perspectives to broad patterns, and ultimately, to theory" (p. 22). The participant responses "deal with a person's construals, constructions, and interpretations of an experience, that is, the meaning a person makes of an experience" (McCauley et al., 2006, p. 635).

The *epistemology*—the justification of knowledge claims, or ways of knowing—that honors a human experience of complexity such as leadership development requires methodologies that can encompass its subtleties (Braud & Andersen, 1998). An expanded research program—beyond quantitative *or* qualitative—is necessary for disciplined inquiry given the personal, subjective, private lived experience of development (Braud & Andersen, 1998) whether internal and/or socially mediated.

Constructivism also works more from the "bottom up, using the participants' views to build broader themes and generate a theory interconnecting the themes" (Creswell & Clark, 2007, p. 23). The undertaking of this research is to understand how individuals construct or inductively assign meaning to a phenomenon (p. 29) rather than to test a theory deductively. Thus, qualitative information is the beginning point of the research, and sets the framework for understanding the participants' experience of development. The question asked of the participant is open-ended, and can accommodate the complexity of any answer. It is not a yes or no specific and measurable answer. The starting point for constructivism is noting larger patterns or generalizations instead of numerical analysis.

In a *constructivist* epistemology the relationship between the researcher and the researched is one of closeness. Known as a *high touch program*, the one-on-one coaching session tends to be quite intimate and personal, if the participant chooses. The classroom facilitators often observe a fair amount of self-disclosure and candor as the week progresses. There are exceptions, but 20 years as a reflective practitioner has given me a lived sense of the closeness experienced during the week. This closeness positions a qualitative methodology. The quest for impartiality in assessing what emerges will invited the postpositivist lens of quantitative data. The postpositivist stance values distance and impartiality (Creswell & Clark, 2007). Further discussion of mixing methods and worldviews will be addressed in Chapter Three, after the literature review.

This programmatic research builds upon previous studies (outlined in Chapter Two) to understand differences between those who used online follow-through and those who did not. Given the few differences discovered—using 360-degree feedback

instruments, psychometrics, and demographic data—the next step is to understand the participants' experience of development. The convenience sample of those who update allows data from participants who notice some change in the nature of their own leader or leadership development, even before it may be evident to others. They also grant insight to the way a participant constructs or conceives of the workplace (Laske, 2008). This allows information before behavior change is observable, observed or perhaps corroborated by external indicators.

Summary

The purpose of the introduction was to present the evidence that leader and leadership development is important for individuals, groups, and organizations in a time of increasing complexity. Leader, leadership, development, leader development, and leadership development were examined and defined. Challenges in assessing, measuring, and evaluating leadership development were demonstrated. A larger programmatic research agenda was introduced providing a rationale for this study's use of subjective data.

Advance Organizer

Chapter Two: This literature review spans leadership literature's evolution across the last century and across increasing levels of analysis. It provides conceptual frameworks for development, identifying challenges in developing leaders and leadership. The role of design for supporting and sustaining follow-through and the development process is addressed. The field of inquiry for evaluation of leadership development programs in general, and CCL's LDP specifically, is reviewed. The chapter concludes with an overview of post-LDP-classroom assessment using an online follow-

through lens, allowing the reader to understand where this research builds upon existing studies within a programmatic research agenda.

Chapter Three: This chapter positions the methodology of the study within the theory of science. Sequential mixed methodology, the method used for this postpositivist study, includes both qualitative and quantitative methodology and is discussed here. Thematic analysis and content coding are used as a process for the research. The quantitative contributions—descriptive statistics and logistic regression—are also addressed. The procedure of each phase is explained in detail.

Chapter Four: This chapter is an exploration of the thematic analysis, and the participants' perspective on the personal and organizational impact of completing a developmental goal after the LDP. A summary of both qualitative and quantitative results is provided, grounded in sensitizing concepts of development.

Chapter Five: The results are summarized and interpreted, as the question of development is revisited from the standpoint of leader development, leadership development, horizontal development, and vertical development. Theoretical and practical consequences are discussed, as well as indications for future work.

Chapter Two: Literature Review

Chapter One highlighted the importance of developing those who take on the role of leaders in order to meet the complex challenges currently facing leadership, and presented the burgeoning industry of leader and leadership development offerings to meet this need. Most development programs promise the development of leaders and leadership that many organizations seek—even amidst confusion in the field about what who leaders are and what leadership is.

Chapter Two will facilitate this discussion of leader and leadership development by reviewing the evolution of thinking contained in this field's literature. An overview of development follows, allowing *differentiation between* and *integration of* leader development and leadership development. An examination of these subjects will broaden the discussion of the challenges of developing leaders and leadership: leader and leadership development programs, the context of leader development, designing for transfer of learning or transfer of training from the programs to the work of leadership, and supporting and sustaining follow-through and the developmental process. The role of developmental goals, coaching, and agency in the process of leader development merits their inclusion in this discussion. The LDP, the program from which the archival data will be drawn, will be presented: its history, purpose, and design. An overview of impact evaluation of development programs, including LDP, is presented in this chapter for clarity on what impact evaluation has been done, and what might potentially contribute to the field of inquiry. The technology of online follow-through allows a new lens on post-classroom development, and may allow new insights for the field of inquiry.

Evolution of Leadership Thinking: Review of Definitions and Concepts

A more thorough overview of the field of leadership literature begins here by tracking the evolution of leadership thinking in the 20th century; that emerging thinking about leadership informs this research. Although an array of definitions was presented in Chapter One, this section chronicles the field by organizing it into three levels of analysis: the individual, the interpersonal, and the collective. These become important since development can be at an individual leader level, an interpersonal level, and/or a collective level.

Understanding leadership requires a lens capable of integrating and valuing the theories while anticipating the evolving developments in thinking and knowing about leadership. Bennis (1959) identifies the complexity in leadership thinking:

> Of all the haze and confounding areas in social psychology, leadership theory undoubtedly contends for top nomination. And ironically, probably more has been written and less known about leadership than any other topic in the behavioral sciences. Always, it seems the concept of leadership eludes us or turns up in another form to taunt us again with its slipperiness and complexity.
> (pp. 259-260)

Although this analysis will focus on emergent literature in the field of leadership from the 1930's onward, it is important to remember the rich human traditions (Plato) mentioned in Chapter One. In search of a comprehensive understanding of leadership, we recognize wise contributions from various periods of scientific, philosophical, and spiritual evolutionary thinking (McIntosh, 2007). Leadership thinking is enriched by integrating scientific contributions apparent in so many of the early theories with philosophy's evolving contributions (McIntosh, 2007).

To simplify a review of the vast leadership literature, different levels of analysis are utilized: the personal or intrapersonal theories (Rost, 1991; Yukl, 2003), interpersonal theories

(McCauley & Van Velsor, 2004), and group or relational theories (Drath, 2001). Organizing in this way may give a false sense that they are three differentiated categories. There are, of course, theories which merge perspectives and include the interplay between categories (Yukl, 2003). Behavior theory, for example, discusses not only an individual leader's behavior but also encompasses relationships with followers. The categories are not tidy and clear cut but in general can provide an overview of leadership literature and highlight the need for an inclusive meta-perspective on leadership including many levels of analysis (McIntosh, 2007; Volckmann, 2008). Ways of knowing, or epistemologies (Blaikie, 2000), inform methodologies for understanding leadership. This evolution over time renders more complex and comprehensive ways of thinking about, observing, practicing, and researching leadership (McIntosh, 2007; Weick, 1995; Wilber, 2000a). The analysis begins with the field of leadership literature focused on the individual.

Levels of Analysis

The Individual: Trait Theories. Theories from the early part of the twentieth century focus heavily on the leader's need to *be* or *act* a certain way. Within the person there are "traits" and characteristics that the "one" man or woman doing the leading would want to possess (Yukl, 2003) and only such *great men* could be leaders (Rost, 1991; Yukl, 2003). Leadership here is conceived of in terms of one person—an individual—and the skills that one might bring to bear on this area called leadership. In the 1930's and 1940's according to Yukl (2003), and 1940's and 1950's according to Rost (1991) trait theory was popular. It resurges in popularity again in the 1980's and currently in the trend towards looking at competencies (Moxley, 2000). This realm continues to influence Western society's thinking about the individual as leader and

propagates the myth of leader as a hero. The myth mingles with real heroic acts, which are not disregarded here.

Management scientists and social psychologists developed a leadership model based on individual knowledge, personality, skills, and abilities associated with formal leadership roles. This ensured that the leader—the one person—would effectively *stand tall*. Early studies claim that traits such as look, height, energy levels, tolerance, internal control orientation, emotional maturity, motivation, and charisma could positively impact the perception of good leadership (Yukl, 2003). Underlying these theories is the assumption that "some people are natural leaders who are endowed with certain traits not possessed by other people" (p. 12), which tends to be exclusive of any one that does not fit the desired traits for whatever reason. One danger in this thinking is that marginalized and under represented populations may find it increasingly difficult to occupy formal leadership positions if they are not perceived as having the desired traits.

The belief that certain skills, traits, and abilities are associated with effectiveness in leadership roles is evidenced by the increased trend towards measuring these skills and behaviors (competencies) using multi-rater instruments. These multi-rater instruments (360° evaluation tools) identify the specific skills and behaviors (competencies) "that are deemed important to managerial or leadership effectiveness within the organization" (McCauley & Van Velsor, 2004 p. 59). Nearly all Fortune 500 companies "either currently use or have plans to use some form of 360° feedback" (Antonini, 1996, p. 59).

Trait research even fails to consistently prove that certain traits are indicative of one person's success as a leader over those without them (Stogdill, 1974). Stogdill confirms that even while traits might be positive in one situation, they might not indicate success in another situation. To further confuse understanding, two leaders with different patterns of traits could

equally be successful in the same situation (Yukl, 2003). The behavioral theories popular in the 1950's and 1960's (Rost, 1991) grow out of disappointment of trait theory and began to focus on what managers actually *do*. Behaviors which make leaders effective are identified.

The industrial period (1900 to present) brings with it scientific management theories of Frederick W. Taylor (in Yukl, 2003) who focused on task accomplishment with little attention to relationships or developmental levels of those doing the work:

> Leadership theories reflecting the industrial paradigm have been 1) structural-functionalist, 2) management oriented, 3) personalistic in focusing only on the leader, 4) goal-achievement-dominated, 5) self-interested and individualistic in outlook, 6) male-oriented, 7) utilitarian and materialistic in ethical perspective, and 8) rationalistic, technocratic, linear, quantitative, and scientific in language and methodology. (The) industrial paradigm…is much more oriented to impersonal and bureaucratic relationships. (Rost, 1991, p.27)

Situational leadership theories emerge to address not only the task of leadership, but include the relationship as a second major factor to be considered—even if transactional and superficial— if leadership is to be effective (Hersey & Blanchard, 1988). This model addresses levels of development, readiness, ability, and motivation of the followers—though it expands the notion that the one *leader* assesses the *follower* to know how to lead him/her. We know now that it is not that simple (Yukl, 2003). The language also evokes images of hierarchy and top-down execution of leadership. If leadership in its more complex (Heifetz, 1994), collective (Criswell & Martin, 2007; Drath, 2001), and relational (Drath, 2001; Hoppe, 2001) and less about hierarchy and positional roles, then situational leadership might be considered more of a management theory (Volckmann, 2008).

The Center for Creative Leadership's (CCL) experience amply confirms that "adults can develop the important capacities that facilitate their effectiveness in leadership roles and processes" (McCauley & Van Velsor, 2004, p. 3). In an effort to identify traits and behaviors associated with success and failure of managers (note: early CCL literature used the terms leader

and manager interchangeably) who attend leadership development programs, CCL has identified specific traits and skills that are important in predicting whether a manager will advance *or* derail (McCall & Lombardo, 1983). The list includes: emotional stability, defensiveness, integrity, interpersonal skills, technical skills, and cognitive skills. Later trait research (Bass, 1990; Howard & Bray, 1988) reports positive correlation of effective leadership with energy levels, stress tolerance, self-confidence, internal locus of control, emotional stability, maturity, personal integrity, power motivation, achievement orientation, and need for affiliation (Yukl, 2003).

Over time some personal theories have contributed insight about great traits without including the dimensions of self-development or self-mastery (Bolman & Deal, 2006). History provides examples of those who personified the traits of strength and power, accomplishing their leadership objective as a result of sheer power or influence over others. Traits such as courage, persistence, and determination allow leaders to get results, but at what cost? It can also make them "formidable foes" (Bolman & Deal, 2006). Looking only at traits can also be a limiting view of leadership. Rost (1991) observes that no one can lead all the time; there will be conditions that invite a leader to draw upon certain traits, and conditions that discourage drawing on those traits (for example, using the trait of courage does not make sense continually and in all circumstances). It is difficult to have the conversation about courage always being an effective leadership trait. Trait-only discussions fail to include the more relational and collective abilities including influence, and interpersonal skills.

The Interpersonal Level: Leaders and Followers. We now consider the interpersonal realm which includes areas of influencing, power, coercion, and exchange (Yukl, 2003). Yukl posits that the contribution of the intra-individual—called intrapersonal, or personal—approach in theory development is limited because it does not

address interaction with and influence over others (Yukl, 2003). Comprehensive leadership theories cannot be solely focused on the personal realm since leadership includes interactions with other people (Drath, 2001; McCauley & Van Velsor, 2004; Yukl, 2003). Thus theory expands to cover personality, technical skills, interpersonal ability and the path to achieving the leader's ends, as well as the realm of influence and power. The intent to influence attention and behavior in the desired direction (Yukl, 2003)—by influence tactics, legitimate power, reward, and coercive power—speaks of leadership in transactional terms. Although interpersonal, the focus is still largely upon the leader achieving outcomes as a result of personal skills. Some theorists might consider this managing, but not leading.

The dyadic role-making theories and initial discussions of *followership* include theories of the leader-member exchange. Relationships, in the context of the interpersonal realm, evolve over time and take on different forms "ranging from casual exchange to a cooperative alliance with shared objectives" (Yukl, 2003, p.15). Prior to Burns (1978), Hollander (1964) focuses on a mutual relationship between leaders and followers (Yukl, 2003). Favorable relations with workers or stakeholders are seen as the means by which attribution of their greatness stands confirmed. Influence tactics (rational persuasion, appraising, inspirational appeals, exchange, collaboration pressure, personal appeals, consulting, coalition, and legitimizing) are means to the end of the leader getting what (s)he wants.

Leadership happens through people working together, and sometimes working in opposition (McCauley & Van Velsor, 2004; Yukl, 2003). Yet within the spirit of the industrial paradigm, there is little regard for the development, needs, or aspirations of the followers—those who collaborate to get the work done with and for the leader. The focus remains, even in the

interpersonal realm, largely on the leader's talent and ability (competencies). There are exceptions in the literature including Burns (1978), Greenleaf and Spears (2002), Hollander (1964), Vaill (1998), and Kellerman (2008)—who each invite a more active interpersonal inclusion of the *other*. Greenleaf implores the leader to serve the *other,* while Kellerman suggests that leadership and followership are each connected, important roles. The follower has power, she claims.

Fiedler's contingency model describes "how the situation moderates the relationship between leadership effectiveness and a trait measure called the Least Preferred Coworker (LPC) score" (in Yukl, 2003, p. 209) and predicts leadership effectiveness based on understanding task success and interpersonal success. Here the equation also includes position power—in addition to task and relations—and encourages attention to situational factors of management and leadership.

In this discussion of the interpersonal realm we have noted how leadership theories can be interpreted with little regard for follower and be quite transactional. Burns (1978) suggests evolving leadership beyond transactional into transformative work.

The changing nature of leadership (Criswell & Martin, 2007) from a more individual to a more interdependent process of working together suggests revisiting the definitions of leader and follower. Since one person plays both roles frequently, and leadership depends on the followers (Kellerman, 2008) for effectively achieving goals, this then becomes an increasingly important part of leadership: the *relationality* (Drath, 2001) of working together towards desired outcomes. Kellerman (2008) hails the *end of leadcentrism* with statements like: "followers lack authority; but they do not, or they do not necessarily, lack power and influence;" "followers who do something are usually preferred to followers who do nothing;" and "followers can be, and now

they often are, agents of change" (Kellerman, 2008). Again, leaders can be followers and followers also lead in the process of leadership. Emergent thinking about roles in leadership has been increasingly inclusive, relational, and collective (Criswell & Martin, 2007; Drath, 2001; Palus & Drath, 1995; Volckmann, 2008) with recognition that one person can play many roles. The interpersonal realm of leadership is impacted by each individual's development, making development important for effective leader and leadership development.

The Collective Level: Group, Organization, Culture. Leadership with more than two people—the group, or collective realm—has facets that go beyond repeated separate leader-follower transactions into the realm of groups where leadership emerges (Drath, 2001) in different and complex ways. Since there are exchanges between a leader and any given follower, group/relational leadership shares some characteristics with dyadic leadership groups. Groups who come together can also experience a leadership of dynamic interchange within the group, with or without a formal leader. This literature of group leadership might have elements of dyadic interactions but mostly the complexity of relationships within a group of more than two increases the complexity of understanding leadership.

The discussion of collective leadership must also include self-managed teams, or semi-autonomous work groups, which shift the authority usually reserved for the role of *leader,* to the members of the team (Yukl, 2006). This style can be effective for employee empowerment "with the potential to affect dramatic increases in worker satisfaction and productivity" (Kossler & Kanaga, 2001). However, its success depends on many factors:

> the political support of the surrounding organization; the degree of centralization and formalization of the surrounding organization; the structure of the teams themselves including the relationship to team leaders and how reviews are handled; training of team members, particularly in the area of communication; clear mission, goals, and success measures that include rewards for exceeding expectations and coaching when goals are not met; and special training or support in handling issues of discipline and other human resources issues. (Leslie, 2008)

The changing nature of leadership research (Criswell & Martin, 2007) recognizes the shifting of power and decisions from one person to more people. CCL uses leaderless team exercises within their leadership development programs for participants to directly experience the flow of leadership without a designated leader.

Drath (2001) delineates the ways of practicing leadership as personal, interpersonal, and relational. In his *personal dominance principle* the "leader embodies direction, inspires commitment, and personally faces challenges" (p. 153). In his *interpersonal influence principle* the "leader emerges from reasoning and negotiating as the person with most influence over direction, who is thus best able to gain commitment and create the conditions for facing adaptive challenge" (p. 153). In the relational dialogue principle "people share work and create leadership by constructing the meaning of direction, commitment, and adaptive challenge" *(*p. 153). The areas of *personal dominance* and *interpersonal influence* of a single leader contribute to understanding leadership, but cannot comprehensively encompass leadership's increasing complexity (Alexander, 2006; Burns, 1978). Leadership is seen as a shared achievement, neither a product of a great person, nor of dyadic interaction, but as relying on the "whole system of relations—the deep blue sea—in order to get things done" (Drath, 2001, p.6).

Drath (2001) believes that leadership focuses on the whole ground—the web of relationships within a group sharing resources—to make leadership happen and calls it *relational leadership.* Together individuals and the group make sense of these relationships, of their

interaction, and of their *adaptive work*. *Adaptive challenges* require a leader's ability to give the work back to the people without abandoning them (Heifetz, 1994). Drath and Heifetz define this as the *adaptive*—as opposed to technical—challenge facing a leader. *Technical challenges* are easily solved by applying a technology or existing solution to a challenge. This demands participation of the group and accesses leadership competencies beyond an individual-as-leader or dyadic skills. It also invites a leadership beyond simply *followership* to one of encouraging people who do not hold "positions" of leadership (Heifetz, 1994). Heifetz takes leadership in the group/collective realm to a bold new place, where together the collective addresses the burden and responsibility of meeting the challenge with or without positional, formal authority.

Leadership in nested levels of complexity including individual and interpersonal, is created by the group as it faces the adaptive work of living up to its values. It is less about structure, positions, and hierarchy—often associated with management—and more about navigating increasing complexity.

Integrating Leadership Thinking and Practice: Include and Transcend

Integrating and valuing the theories and levels of analysis facilitates a more comprehensive view of leadership as the field of personal, social, relational awareness that includes, but is not limited to, personality traits, mental attributes, or behaviors. Given the present complexity that leaders face, there is an urgent need to expand leadership concepts (Bass, 1990). Kupers & Weibler (2006) note that the

> prevailing leadership approaches seem to manifest fragmented or mutually exclusive paradigm parameters, missing a more inclusive orientation and enfoldment of leadership. Following often reductionistic orientations and due to various ontological and epistemological shortcomings and methodological limitations the need for different openings and a new discourse and framework for leadership studies become evident. An incomplete approach of leadership phenomena may lead to an inappropriate understanding, and investigation and erroneous conclusions and implications. Thus the lack of an adequate comprehension of the construct and practice of leadership call for a congruous integral framework. The term 'integral' here refers to the completeness of a truly full-range approach, in which the constituent parts and wholes of leadership are not fragmented, and in which all its micro-and the macro-dimensions as well as its mutual interrelation are brought together. (p. 2)

Volckmann and Edwards (2006) see the wisdom in focusing on social systems, in addition to strengthening the ability of individual leaders to meet the demands of leadership development. Working with both parts and wholes can include and transcend the limitations of only having one lens—either individual *or* collective—on leadership.

Since society has worked with the leader/follower paradox for so long, it is easy to fall into reductionistic thinking—one is the leader, or a follower—and to forget that at some moments the leaders follow and the followers lead. This reductionism can create pathologies and limited ontologies that see leadership as top-down or bottom-up (Volckmann & Edwards, 2006) without acknowledging relational leadership (Drath, 2001). Servant Leadership (Greenleaf, 1977) offers a different way of seeing the relationship as a leader is expected to serve, for example. Volckmann and Edwards (2006) see leadership and *followership* as creative and dialectical, actually complementing each other as the roles shift and the group creates itself—*autopoeisis*—and unanticipated ways of working within the social system emerge.

Leadership can be seen as an "emergent property of systems design" (Salancik, Calder, Rowland, Lebiebici, & Conway, 1975). Using interpersonal relationships to help build commitment, cooperation, and resource exchange among members of a community of practice (Day, 2000; Tsai & Ghoshal, 1998; Wenger, 1998) can create organizational value thereby enhancing social capital. The social capital is generated through the interpersonal exchange (Bourdieu, 1986); relational leadership (Palus & Drath, 1995) focuses on human, personal development as well as interpersonal intelligence: an ability to understand people—a basic concern in building trust, respect, and ultimately, commitments including social awareness (empathy, service orientation, developing others) and social skills (collaboration and cooperation, building bonds, and conflict management) (Day, 2000; Goleman, 1995; McCauley, 2000).

O'Toole (1996, 2004), although his early work emphasized the individual, posits that definitions which focus on the individual are not sufficient and urges readers to consider instead the responsibility shared throughout the organization. He emphasizes the need to think about systems being aligned and adaptive (Volckmann, 2004). Ken Wilber (2000a) challenges current frameworks for thinking of leadership and highlights the tremendous need for "frameworks that can both recognize the insights of more focused models and integrate those insights into larger theoretical structures" (which he calls integral methodological pluralism)—*a twenty-first-century synthesis* (p. 220).

A spiral of development in the grounds of knowing—epistemology—or in understanding the nature of reality—ontology (Blaikie, 2000)—means increasingly comprehensive approaches available to the understanding of leadership study by transcending more limiting epistemologies. The aforementioned levels of analysis

(individual, interpersonal, and collective) have also evolved over time including and transcending concepts critical for understanding leader and leadership development.

In summary, the term *leaders* will refer to the people who assume the role of leadership, with or without positional authority. Developing a leader is enhancing the capacity of that individual to fulfill the role of leader. It is developing human capital (Day, 2000). *Leader development*, then, refers to growth or expansion of the individual who assumes the role of leader.

Leadership refers to a collective achievement embedded in social interaction and developing leadership is a process of improving a collective's capacity to be effective in leadership roles and processes: meaning-making, creating a container to deal with complexity, or achieve an organizational objective or goal. *Leadership development* is about increasing a system's capacity to be aligned and adaptive (O'Toole, 2004) in the structure, relationships, behaviors, culture, resources, technologies, information sharing, climate, and shared beliefs. It also is about increasing social capital (Day, 2000)—the relationships, relational practice, and interaction between people (Drath, 2001).

A *leadership development program* refers to an initiative designed to improve the collective capacity; a leader development program is an initiative designed to expand an individual's capacity to assume the role of leader (Day, 2000). Emerging leadership paradigms suggest that leader development and leadership development are integrated, interact with each other, and cannot be totally separated (Cacioppe & Edwards, 2005a; Day et al., 2009; McIntosh, 2007; Volckmann, 2009). Leader development builds the *human capital* that informs the interactive *social capital* that is leadership (Day, 2000). If we try to improve collective capacity without working on the individual, or conversely,

the individual capacity without addressing the collective realm, the approach is less effective than with working with both together (Palus & Drath, 1995). This study will still define leader in individual terms, and leadership in collective, relational terms even though separating the concepts seems artificial and the two are integrated (Volckmann, 2008).

Since this research has not been conducted and it is unknown whether the impact of achieving goals includes leader development and/or leadership development, and that some programs will not accurately reflect their intended or proven outcomes, the phrase *leader and leadership development* will often be utilized to reflect the possibility that either one could be possible.

CCL has never named its program anything but the Leadership Development Program (LDP®) even though the focus is decidedly on the individual; *LDP* is used throughout this research to indicate the specific CCL program, even before understanding if the outcomes are about leader development and/or leadership development.

Perspectives on Development

Psychological Perspective- Stage Theories

It is hard to find references about psychology until around 1879 (Wilber, 2000b). Each iterative contribution claims that its focus is the most important focus but in doing so will reduce the whole of consciousness: behaviorism reduces consciousness study to observable, behavioral expression; psychoanalysis reduces consciousness to structures of the ego and its interplay with the id; existentialism reduces consciousness to intentionality and personal structures; transpersonal psychology —many schools—avoids developing structures of consciousness to focus on altered states; Asian psychology

(Eastern philosophy) mostly ignores an understanding of early development but contributes understanding from the personal to transpersonal—beyond individual ego—consciousness development; cognitive science can reduce consciousness to bio-mechanical-computer-like-objective reality (Wilber, 2000b). Each aspect is important while none in and of itself is comprehensive. Integral psychology identifies new ways of engaging with leading and leadership by applying the same evolutionary idea to our human development: include and transcend.

Developmental psychology is:

> about the growth and development of the mind—the study of interior development and consciousness evolution. The waves of development emerge and unfold allowing progressive subordination of older lower-order behavior systems to newer, higher-order systems as an individual's existential problems change. Each wave… is a state through which people pass on their way to other states of being. There is a psychology associated with the state which will encompass feelings, values, motivations, neurological activation, belief systems, learning systems, and theories of leadership appropriate for that state, wave. (Wilber, 2000b, p. 5)

Loevinger, Torbert, and Kohlberg (McCauley et al., 2006) identify pre-conventional, conventional, and post conventional, or dependent, independent, and interdependent levels and have assessments for understanding where a person is on that developmental continuum. Graves (in Cowan & Todorovic, 2007) identified eight major waves or levels which Spiral Dynamics (Beck &Cowan, 1996, 2006) call vmemes. These vmemes are represented by distinct colors (or letter designations) contained within a spiral; the colors are merely convenient identifiers without having inherent meaning. Since this research is interested in a subjective perception and not absolute assessment of developmental levels, the complete descriptions are not detailed here. A second-tier consciousness (also called post-conventional or interdependent) exists marking a significant jump in capacity to deal with complexity, as in Kegan, Loevinger, Torbert, and Kohlberg's work (Beck & Cowan, 1996; Graves et al., 2005; McIntosh, 2007). The Hierarchical

Complexity model (mentioned in Chapter One) articulates transitions between orders of increasing complexity by including the notion of fractals, or steps along the way (Ross, 2008). Wilber (2000a) draws lines of development in the AQAL model. Whether referred to as stages, levels, orders, lines, or vmemes, leading in complex times requires developmental levels capable of dealing with complexity (McCauley et al., 2006).

Constructive-developmental Theory

Constructive-developmental theory can be thought of both as combining a psychology perspective with a socially mediated perspective since it involves an internal element of reviewing *how things are* and in developing, shifting the focus to *something I can affect* (Drath, 2003) as one makes meaning of social relationships. Maintaining relationships, rather than being self-serving, represents a developmental shift at one point; becoming self-authoring and moving past others' expectations is representative of a later developmental shift (Kegan, 1982). The meaning making is internal, while its expression includes social mediators.

Volckmann and Edwards argue that the heavy emphasis on the developmental level of the leader—in order to not fall into developmental absolutism (Volckmann & Edwards, 2006) —needs to be accompanied by other lenses that help describe "healthy, normative development in a leader's workplace capacities, worldviews and behaviours" (Volckmann & Edwards, 2006, p. 13). Caution is urged against automatically assuming that higher developmental stages are always more effective, which some authors believe (McCauley et al., 2006). Other studies assert that a leader can be effective at each stage (s)he has passed through by including that perspective in the thinking and sense-making, and transcending and including that view, thereby rendering a more developed person capable of dealing with diverse perspectives (Harris & Kuhnert, 2008).

Socially Mediated Perspectives- Social Cognitive Theory

Another perspective on development—*sociogenetic*—comes from the Vygotsky school (Volckmann & Edwards, 2006): development occurs from the interaction between subject and object mediated by artifacts (such as words, gestures, meanings, displays) in the space between people. The space between individuals is the mediating process for growth (Nicolescu, 2007). Leadership, then, from this developmental focus could assert: "The true leader is someone who leads others to discover this space out of which communion arises—encounter with the true nature of the other" (Volckmann & Edwards, 2006, p. 5). Holding this view of development positions leaders in organizations to inspire others in the *intersubjective* space—*how we think of ourselves*—of shared humanity; here it is possible to grow and develop together. It opens the possibility of transformation and highest potentials. If development does happen in our encounters with each other—in dialectic forms—then the workplace or social systems are inherently places that offer much potential for growth and development. So *knowing oneself* and *encountering the other* are both paths of development (Nicolescu, 2007) as is constructive-developmental theory (McCauley et al., 2006).

The implication for development of leaders is important. The *sociogenetic* or social mediation focus on development brings its opportunity into the organizations and social systems where most leaders spend much time and have many interactions. Life experiences—inside and outside of an organization—are often socially embedded and can be developmental.

Hampden-Turner's (1971) Developmental and Anomic Models depict the development (or anomic) potential of injecting the self into an environment and integrating its learnings (or not) while narrowing the distance (or not) between self and other (Volckmann & Edwards,

2006). Socially mediated development may be noteworthy as the focus on leadership becomes increasingly interpersonal, relational, and collective.

Social cognitive theory describes *agentic* behavior as intentionally influencing one's functioning and life circumstances. This social cognitive theory provides a lens on human development in a socially interactive world (Bandura, 1986, 2000, 2001, 2006). Theories of human agency view leadership development as an "active, intentional forward looking process that seeks to enhance the collective capacity of organizational members and the organization through human-centered, goal inspired relationships" (Olivares, 2008, p. 531). Development initiatives often suggest setting a goal as an intentional strategy for using proactive behaviors to move towards an outcome based on the insights from a leadership development program, representing an intention to influence one's self, others, and life circumstances (Bandura, 2005).

Unless people "believe they can produce desired effects by their actions, they have little incentive to act or to persevere" (Bandura, 2006, p. 170). According to Bandura, this personal efficacy is the most important aspect of agency, and a "key personal resource in development and change" (p. 170). Self efficacy impacts cognitive, motivational, affection, and decisional processes (Bandura, 2006). *Agency* will further be addressed in the goal setting discussion.

Other Frameworks for Development

Development can also be framed in terms of learning and unlearning—letting go of old behaviors and perspectives and taking on new habits (Kaipa, 2006) that are better suited for any given situation. Toffler (2006) considers those who cannot learn, unlearn, and relearn to be the *illiterate of the future*. Vaill (1996) emphasizes the importance of *learning as a way of being* for a leader to survive in a world of permanent change. Lewin (1997) would use the terms unfreezing and freezing the ability to move past a previously held belief. Mezirow (1991) would

emphasize the importance of disorienting dilemmas to stimulate development. This could be both socially constructed and also have an internal dissonance component.

Using developmental psychology or socially mediated perspectives to view organizational sense making (Morgan, 2006; Palus & Drath, 1995; Weick, 1995) or behavior is important for leaders. No matter which developmental stage, a disagreement or conflict between ideas or people can be viewed as differing subjective positions or levels—different levels of dealing with complexity. *Objective evidence* is also subject to the level at which knowing happens which effects what is considered *truth*—epistemologies and ontologies appear different at each distinct wave or vmeme (McIntosh, 2007; Wilber, 2000b). This has enormous relevance for humans leading and forming part of social systems.

"Leadership is not a science or an art, it is a state of consciousness" Chatterjee (1998, p. xix) asserts, and "personal mastery is a function of the quality of our seeing" (p.1). Whether referring to lines of development, levels, stages, states (Wilber, 2000b; McIntosh, 2007), intelligences (Gardner, 1993), or social capital (Day, 2000; Day et al., 2009; Olivares, 2008), development, as framed by any of the above theories, can enhance leadership (Harris & Kuhnert, 2008; Joiner & Josephs, 2007; McCauley et al., 2006; Palus & Drath, 1995). A more comprehensive or integral conversation about leadership happens when including the individual and the collective in interior and exterior realms, which interact with development potential in each domain (Wilber, 2001a). Bolman and Deal's (2006) discussion of the shadow side of leaders demonstrates the danger of under-developed leaders with power and influence; power without development can have disastrous consequences or simply produce tyrants and formidable foes. Developing a leader is essentially about developing a human being (Bennis,

1989). Chatterjee's (1998) reference to *leadership as a state of consciousness* lends a developmental invitation to leaders and leadership.

Is it Really Development?

Moshman (2003) questions whether or not adults really develop, since a shift usually comes from specific experiences, contrasting with some theorists' ideas of childhood development including endpoints which can be measured. The assumption is made that most children develop to certain (formal) stages, but not all adults will attain post-formal stages (Day et al., 2009). Day offers a revised concept of development including "1) development as a qualitative change, 2) development as progressive change, and 3) development as internally directed change" (p.35) in the areas of epistemic development, moral development, and identity formation. The revised concept of development is important since many adults consider themselves to be in a process of development—enhancing their worldviews—as they transcend and include previous ways of making sense of the world. Many adult developmental lenses emphasize the inclusion and transcending of older worldviews—instead of replacing them allowing a greater openness to different worldviews, attitudes, and beliefs (Kegan, 1982; Wilber, 2000b). A growing body of research assesses a leader's order of development, or stage, and the movement from one stage to the next (Cook-Greuter, 2004; Harris & Kuhnert, 2008; Kegan, 1982; Lahey, Souvaine, Kegan, Goodman, & Felix, 1988).

This research did not seek to identify or quantify which development stage a participant is in and which one she moves to (for example from one vmeme to the next, or a Kegan level 3 to a level 3/4). Assessing levels is possible and researchers have assessed levels (Beck & Cowan, 2006; Rooke & Torbert, 2005). Movement from one stage to another may take months or years and many factors (readiness, experience, age, career stage, promotions, or timing) affect stage

change. The sensitizing concepts within this chapter are useful for framing developmental shift that happens within even a smaller transition as worldviews are expanded, as tasks of increasing complexity are addressed, as leading becomes more relational and inclusive, or as one becomes more mindful while taking on the role of leader. To develop the human who assumes the role of leader, is to develop the capacity of that person for leading and other tasks anywhere. Sometimes a deep experience can widen a worldview, which *is* leader development.

Differentiating and Integrating Leader and Leadership Development

Development, developmental movement, developmental shift, in this research, will be used to describe any shift, growth, expansion, maturation, or change which enhances an individual's or collective's ability to deal with complexity, or increases levels of inclusiveness of new ideas, beliefs, values, or worldviews. Lord and Hall (2005) purport that as leaders develop, their leader identity focuses increasingly on others, moving from individual, to relational, and then to collective identity. The focus shifts from *me*, to *you and me*, and then to *all of us* (Day et al., 2009). This shift in increasing inclusiveness, from individual to collective focus, is said to happen in the interpersonal realm of development. A shift from becoming more self-authoring and less focused on pleasing others represents development in an intrapersonal realm (Harris & Kuhnert, 2008). Leader development is about developing the individual who assumes the role of leader increasing human capital. Leadership development is about building a collective's capacity for leadership, increasing social capital (Day et al., 2009). Although these two can be differentiated, the integration of human capital and social capital development provides a rich lens to examine leader and leadership development program impact. Human capital, social capital, adult development, hierarchical complexity, and integral

theories are presented here as sensitizing concepts; the research will eventually prove which frameworks for identifying development can be useful. The multiple lenses on development outlined in this chapter are positioned for their utility in allowing evidence of development besides formal stage identification.

Challenges of Developing Leaders

What's In a Name: Differentiating Learning from Development, and Training Programs from Leadership Development Programs.

Sometimes the terms *learning* and *development* are used interchangeably. The distinction between learning and development is the difference between taking in new information into existing mental structures and new information necessitating new structures to accommodate wider worldviews (Palus & Drath, 1995). This distinction informs the distinction between training programs and development programs: "a training program attempts to impart skills within a person's existing stage of development…[while] a development program, in comparison, helps a person stretch toward a qualitatively new set of meaning structures, toward a new stage" (Boydell et al., 1991). This may be thought of as *horizontal* (what one knows), not *vertical* (how one knows) development, both of which are helpful in developing leaders (Thomas, 2007); it also resembles single loop learning (learning to repeat a task; errors are detected and corrected without interrupting individual's practice), double loop learning (when the first action fails and reflection is required, changes are made), or triple loop learning (learning about one's self in the process of reflecting and making a new effort) (Argyris, 1991). There are rigorous training programs that can stretch a meaning making framework, or development programs that can teach or require new skills (Palus & Drath, 1995) but the

leadership development program in this study is geared toward development, and is considered to be a developmental program—rather than hard skill training event—by CCL and its designer, Bob Dorn (McCauley & Van Velsor, 2004).

A program's name does not always reflect its design and objective; often "leadership development programs" are actually leader development programs. Using the definitions in this chapter, leader development focuses on the expansion of an individual's capacity—human capital—while leadership development is concerned with a collective's capacity, social capital. Day et al. (2009), like Dorn (1974) who developed CCL's LDP, believe that the development of the individual, who is a member of a collective, will impact the collective development as well: leader development and leadership development are connected and each is necessary. Doing one without the other is less than a complete initiative, and caution is advised against assuming that the name of a program will indicate which realm is being impacted. It is also possible to attend a so-called *leadership development initiative* and have leader development but not have leadership development.

CCL's program is still called the Leadership Development Program (LDP) even though the individual—not the collective of the organization—attends the program, and the emphasis is on the individual. It is considered a development program and not a training program and focuses on two things: differentiation of self and integration of self with others (Day et al., 2009). Differentiation of self is about being aware of a leader's individual and unique contribution. Integration with others is about a leader being more inclusive or others' perspectives. The differentiation and integration help leader development and leadership development (Day et al., 2009), but the responsibility for

transfer of individual development to the context of leading is historically placed upon the individual after many classroom experiences (Wick et al., 2006). The discussion now turns to the challenges of developing leaders and developing leadership: context, transfer of training, readiness, design, goal setting, and linking the classroom with organizational culture.

The Role of Context

Contextual factors can and may intervene as an individual attends a leader development program and returns to impact a system or organization. The behaviors that are rewarded and promoted will determine, to a large degree, what behaviors a leader will use (Day, 2000; McCauley & Van Velsor, 2004; Mosel, 1957); a change in behavior can be reinforced or ignored by an organization's reward structure, contributing to that organization's climate (McCauley & Van Velsor, 2004). The context also includes factors like cultural or systemic barriers to information sharing, or processes and structures for making meaning and choosing responses (O'Toole, 1996). Mosel (1957) considers *this* climate responsible for most training outcomes, regardless of what is being experienced in the classroom.

Palus and Drath (1995) emphasize the inter-relatedness of development of people and holding environments:

> Environments (such as organizations, families, and communities) may tend to promote stability within meaning systems more than evolution of meaning systems. This means that development of people without development of the holding environments may work against the development of both people and their contexts. (p. 25)

Undertaking an initiative to lead more effectively means not only developing one's self, but also managing interaction with others to make changes in systems, which adds a layer of complexity (Fiedler, 1996; Vaill, 1998). Day (2000) considers an

integration of both self-understanding and awareness (intrapersonal) with interpersonal understanding to be important in leadership development. He asserts that leadership development is about understanding how to "relate to others, coordinate their efforts, build commitments, and develop extended social networks by applying self-understanding to social and organizational imperatives" (p. 586).

The review of adult development theory has demonstrated that development is a lifelong process, not an event. Therefore, the development of those filling the role of leader is also a process; it takes place in a context of a social system, whether it be a family or an organization, as the individual and system interact (Weick, 1995). Although development happens through many of life's experiences (Day, 2000; Kegan, 1994), this study will focus on the process surrounding LDP, specifically the post-classroom period (Figure 2.4). While potentially catalyzed by the classroom experience, development will mostly happen after the classroom portion of the initiative (McCauley & Van Velsor, 2004). This brings the conversation to a critical challenge of leadership development initiatives: what happens after the classroom.

Transfer of Training

Although this work focuses on development programs—not training programs—the field of inquiry focusing on transfer of training examines the post-classroom phase, which is critical for transfer of training *and* development. Any classroom event will face the challenge of *transfer of training*—the effective application of any learning or growth from the classroom back to a work or home environment (Broad, 2005; Broad & Newstrom, 1992; Wick et al., 2006). Chapter One referenced a considerate investment in training and development initiatives; organizations which invest in initiatives are

increasingly asking for evidence that the investment is providing value. Transfer of training literature seeks to answer this question of value with evaluations and assessments of return on investment (Broad, 2005). It has been said that training transfer is different from development (Palus & Drath, 1995). However, factors that support or inhibit transfer might also inform thinking about post-classroom development after a leader or leadership development initiative. If the transfer of training indicates development, that will be of interest in the discussion of development. For this reason an overview is included here.

Goldsmith (2005) purports that leaders who do not follow up do not improve, while online newsletters' and books' titles about bridging the *knowing-doing gap* urge careful design and execution of programs with consideration of how to get beyond *knowing* and into action to *do* things differently (Goldsmith, 2005; Pfeffer & Sutton, 2000). The factors that inhibit transfer of training from the classroom to the work environment include conflicting priorities, time pressures, lack of support, lack of commitment, lack of understanding impact, fear, lack of initiative, resistance to change, lack of accountability, rewards, consequences, and poor goals (Wick et al., 2006). Personal values and constructs (Laske, 2008) will influence what is carried forward into the work environment.

McCracken (2005) identifies barriers to transfer as intrinsic (perceptual, emotional, motivational, or cognitive) or extrinsic (organizational culture, management culture, physical pressure); Wick et al. (2006) suggest three factors that inhibit learning transfer: environmental (conflicting priorities, time pressures, lack of support), human factors/the participants themselves (lack of commitment, lack of understanding impact,

fear, lack of initiative, resistance to change), and inadequate follow-through process (poor planning).

This practitioner understands that after a classroom intervention, many other time demands and organizational pressures intervene with intentions of doing things differently. In a previous study 79% of LDP participants followed up reporting goal progress online at least once post-classroom, while only 28% did each of five updates possible (Santana, 2006). Mosel (1957) long ago understood that the context to which participants return will play an important role in what happens with the intentions from a catalyst learning or development experience.

Lack of management support once returned from a program can impact transfer of learning and perhaps even development (CCL 2005; Phillips & Broad, 1997). Conversely said, the importance of support becomes evident (Goldsmith, 2005; Hernez-Broome, 2002). Hernez-Broome's exploratory study of two groups of LDP participants—one utilizing follow-up telephone coaching after the program and the other not—those who had follow-up coaching showed significant benefits in reinforcing the developmental experience and producing on-the-job behavioral change. The follow-up participants reported attaining their behavioral objectives to a greater extent than did the non-coaching control group.

Ken Blanchard purports that organizations should consider spending ten times more energy reinforcing the training they have just conducted rather than looking for the next great learning initiative (Papay, 2005). Since Blanchard believes that value is created when knowledge is put to use, his online multi-rater instrument's purchase price includes

online follow-through support, 5-Minute Follow-Through®, for each person receiving feedback (http://kenblanchard.com/Issues_Organizational_Development/Effective_Leadership_Solutions/One_to_One_Talent_Management/Management_Situational_Leadership_Training/5mft/, 2008). This bundling of assessment with the online support suggests that setting goals after receiving 360 feedback, tracking those goals, and making progress will provide value.

Follow-up is linked to continuous development (Goleman, 2000); coaching is linked to significant benefits which reinforce the developmental experience and attaining behavioral objectives (Hernez-Broome, 2002). Feldstein and Boothman (1997) compared high and low performance learners and identified eight factors that characterized high-performance learners; half were related to a manager's influence, reiterating the importance of post-classroom organizational support that participants receive.

The organizational context, especially the importance of having a training strategy—instead of sending people to a classroom once with no other supporting or development activities—plays an important role in transfer of learning back into the work environment (Allen, 2006; McCauley & Van Velsor, 2004). Even goal setting and feedback are considered interventions that motivate and encourage transfer of learning (Baldwin & Ford, 1988). In addition, there are internal contexts such as readiness, motivation, support, and accountability enhance transfer of training or transfer of learning back to the workplace (McCauley & Van Velsor, 2004; Wick et al., 2006). Although this research focuses on learning and transfer of training rather than development, the principles may also be relevant to post-classroom development.

Readiness for Development

Readiness for development is a term used to consider which individuals will be willing to engage in developmental work—which kind, and to what degree (Palus & Drath, 1995). Day et al. (2009) refer to this as *developmental readiness*: "how prepared an individual is to benefit and learn from a developmental experience" (p. 24). Since each person within a leadership development program could be at a different point in his or her lifespan, career, or experiences, contextual and developmental factors will play an important part in readiness for development. These factors are not independent, but interact with each other. They include internal conditions such as trait and state, as well as external conditions such as environmental and socio-cultural surroundings (Palus & Drath, 1995).

Matching Readiness with Developmental Experience

Matching the readiness and aptitude with a developmental experience that is appropriate can leverage or enhance development. Assessing the match without over-reaching the developmental stretch is important—over-reaching in a challenge is considered a risky development strategy (Day, 2000; McCauley & Van Velsor, 2004). *Openness to experience*, a flexible and inviting approach to new ideas and experiences (Costa & McCrae, 1978; Musselwhite, 1985), is being considered as a trait within readiness thinking. Being willing to explore new ground or ideas could contribute to a person's evolution in thinking structures. Developmental experiences may also influence openness to experience (Kegan, 1982).

The conversation about transfer of learning is vast; Baldwin and Ford (1988) identify participant characteristics (internal such as skills, motivation or personality),

training design (didactic or experiential focus), and work-environment factors (peer and organizational support for changes) as important for its success.

Designed for Development: The Surround of Leadership Development Programs

This research focuses on development, not just skills or performance improvement with a tool from a training program. Although performance improvement can happen with development, development includes and transcends performance development; it implies growth, change, and sometimes change over time (Day et al., 2009). Change has many contextual factors such as readiness, motivation, support (Wick et al., 2006), lag time, personal trajectories, growth modeling, and end states (Day et al., 2009); these all add layers of complexity for assessing changes in a person.

Design for leadership development initiatives is varied (Conger, 1992; Leskiw & Singh, 2007). Best practices include developing leaders through integrated, multi-mode initiatives getting management support, systematic training, and action learning. Six important areas for initiatives, according to Leskiw and Singh's review of the literature, are: "a thorough needs assessment, the selection of a suitable audience, the design of an appropriate infrastructure to support the initiative, the design and implementation of an entire learning system, an evaluation system, and corresponding actions to reward success and improve on deficiencies" (p. 446). This highlights two criteria: the importance of designing to meet the challenges of developing leadership over time as a process, not an event, and having a *linked strategy* which connects these development experiences. For example the strategy could include coaching and peer mentoring combined with other organizational and personal development.

The design discussion is informed by literature about transfer of training (Broad & Newstrom, 1992; Palus & Drath, 1995; Wick et al., 2006). Some aspects are discussed here to ground the conversation about post-classroom development: the role of goals, the role of coaching, and the follow-through period. Measurement of these variables is beyond the scope of this research but the impact of the developmental design process and its elements may inform the research. Therefore, this is a representative review of the literature, and not intended to be an exhaustive overview. After examining post-classroom design (role of goals, post-classroom coaching, and the role of follow-through), we will consider the design of this study's Leadership Development Program, LDP.

Post-Classroom Design Considerations

Kolb's (1984) experiential four-stage model, expanded and adopted by others too (Argyris, 1991; Boud, 1988; Boud & Edwards, 1999; Honey and Mumford, 1987) uses stages of concrete experience followed by reflection upon the experience, conclusions made after the reflection on the experience, and then outcomes of the learning applied to a new experience in a continuing cycle. This is a design to shift leadership development from a classroom event to a process. This honors the principles of adult development and double or triple-loop learning (Argyris, 1991), and is recommended (Ladyshewsky, 2007) and utilized by designers of programs (McCauley & Van Velsor, 2004), including the LDP.

Post-classroom interventions such as goal setting (Baldwin & Ford, 1988; Barker-Schwartz, 1991), coaching (Hernez-Broome, 2002; Ladyshewsky, 2007), feedback (Baldwin & Ford, 1988), experiential learning (Barker-Schwartz, 1991; Boud, 1988;

McCauley & Hughes-James, 1994), reflective journaling or learning journals (Kerka, 1996; McCauley & Hughes-James, 1994), and online follow-through (Wick et al., 2006;) have been shown to help learning after classroom leadership initiatives.

The Role of Goals—The Development Plan. Leaving the classroom is not the end of a leadership development program; activities that will help embed new perspectives, provide support for doing things differently, and continue the development process (McCauley & Van Velsor, 2004) can help the program to be a process instead of an event. Goals, and support to reach those goals, can each play an important role in practicing new behaviors, in building levels of mastery (McCauley & Van Velsor, 2004), and in development.

Goal setting is a part of many programs designed for taking classroom ideas and insights forward into action (Olivares, 2008). The goals are chosen by each individual participant on the last day of the program—informed by the learning process of the week, the interaction with others in the classroom, and the 3 ½ hour session one-on-one with the CCL executive coach. Each goal crafted by the participant is a statement of intention to make a change. CCL is never prescriptive about what an individual should set as a developmental goal, but offers to help assess the challenges, and offer support, insight, and options for setting out on an action plan that would be developmental for that individual.

This is a *constructivist* outlook (discussed in Chapter 1)—allowing each participant to construct their own development plan by determining what the next step in his or her own development will be (Creswell & Clark, 2007). The goals will not be assessed according to any of the program's stated objectives, or by external objective

criteria, but rather assumed to be relevant and important from the participant's informed worldview of his own life and career stage. If the participant says it is the development goal they choose as the next step, the assumption is that it represents development for that person. It is also assumed to be *truth* within the participant's constructed worldview.

The executive coach will offer structure for a participant's goal. The two will have discussed the participant's current context, reality, developmental challenges, career stage, readiness for change, and feedback from the back-home environment. The literature, as well as CCL research and anecdotal experience, has shown that outcomes of leader development programs are highly unique and individualized, since leader development *is* the vast terrain of human development (McCauley & Van Velsor, 2004). The variance of goal categories represented in LDP goals indicate how individualized the learning and path forward is to each participant (Figure 2.1). While there are three categories that represent the most frequent type of goals (Building and Maintaining Relationships, Career Development and Developing Others), there are many outcomes possible from the same program content (Hannum & Martineau, 2008; Santana, 2005).

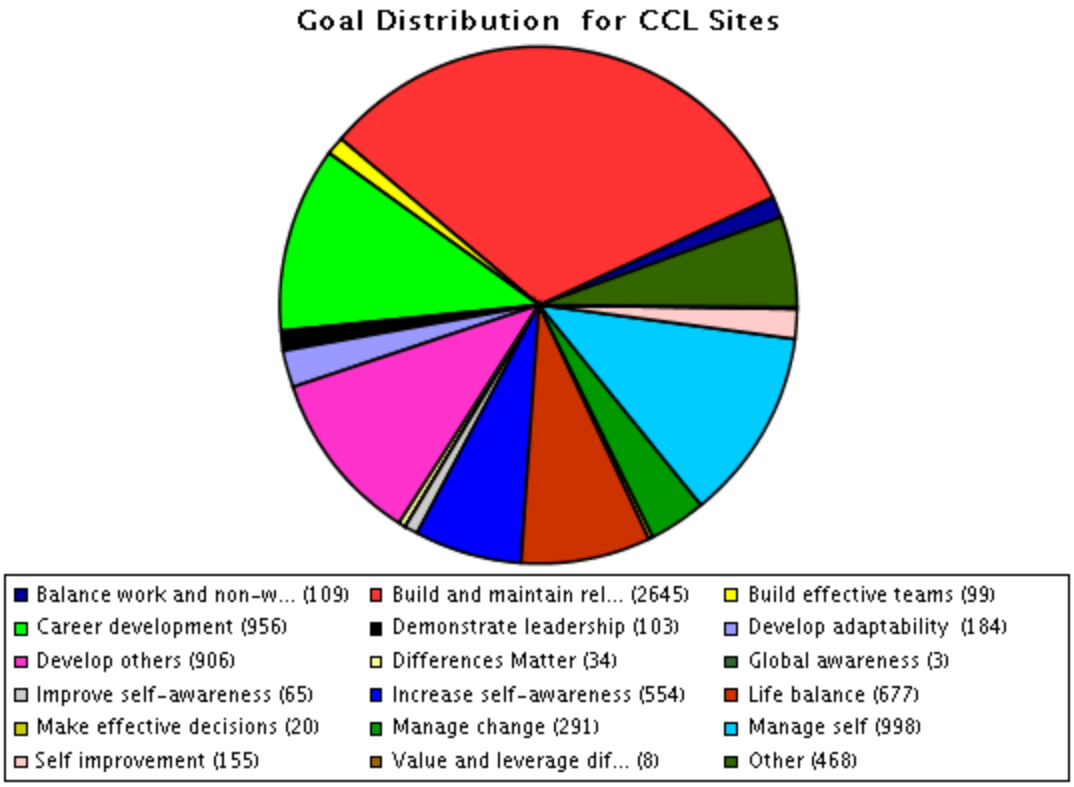

Figure 2.1. Goal category distribution for CCL sites.

The coach helps the participant to structure those individualized goals into a specific, realistic, measurable, and attainable action plan. The two, together, have discussed options. The goal setting template requires input to specific questions: what will be done, why it will be done, what are the signs that something is happening, and what is the intended impact (Figure 2.2).

In the next 10 weeks, I will (Describe your action plan)…

Evidence of my progress over the next 10-weeks will include: *(Measurable results or improvements observable by others)…*

The personal benefit for me will be …

And/or
The benefit to my organization will be ….

☐ I prefer not to share this goal and related updates with my classmates.

My overall goal is related to (*select only one)*:

☐ Balance work and non-work activities	☐ Build and maintain relationships	☐ Develop others	☐ Make effective decisions	☐ Value and leverage differences / diversity
☐ Build effective teams	☐ Career development	☐ Improve self-awareness	☐ Self-improvement	☐ Other
	☐ Demonstrate leadership			

Figure 2.2. The CCL LDP goal report form.

(Used with Permission Center for Creative Leadership 12/2008)

If a goal is of a more personal nature and the participant prefers it not be visible within the collective space of their classmates, the participant can mark it *private*. Private goals are visible only to the participant but not the group. If, or when, the goal is marked by the participant as completed, the online follow-through system displays the following question: what is the personal or organizational impact of completing this goal.

Once a goal is set, *human agency theory* would claim that people need to take action and make things happen to consider themselves as agents of their actions (Bandura, 2006). Self-efficacy, discussed previously, being a central concept of human agency, will impact the perseverance towards achieving a goal (Bandura, 2006). *Individual agency*, making things happen, often includes interacting with others or influencing others. Working with and through others is called *proxy agency*. Working

collectively, which means more than two people working together, is called *collective agency*. These are three forms of human agency (Bandura, 2006). Goal setting, then, can be a "mechanism or trigger for differentiating individual agency into proxy and collective agency, and leader development into leadership development" (Olivares, 2008, p. 536). As challenging or far reaching goals require individuals to access others and work with others to create outcomes, development can enter into the collective domain (Olivares, 2008). In fact, goals carried forward into interpersonal and collective realms may bridge leader development, which is individually focused, with leadership development, which is a collective focus. It may—this remains to be seen with the research—extend human capital development into social capital development.

The Role of Coaching in Development. The use of a peer coach or an executive coach with a leadership initiative has been shown to help successfully overcome challenges of developing leaders, drive transfer of training back to the workplace, and improve performance after a leadership development initiative (Hernez-Broome, 2002; Ladyshewsky, 2007; Wick et al., 2006). Coaches often follow up later with participants about development plans set during the face-to-face classroom week. If the coach is invited to monitor the progress on the goals via the online platform, he or she will offer asynchronous—responding to a posting at a later time—support to help the participant face challenges and obstacles that present themselves after the face-to-face, one-on-one session.

Hernez-Broome's (2002) research shows increased leadership effectiveness when a coach is engaged post-classroom to sustain development. Peer coaches have been shown to support achievement of good learning outcomes (Ladyshewsky, 2007).

Developmental theory would identify support as a necessary and integral component of development; coaches can assess, identify challenges, support, and outline strategies for overcoming challenges with a participant.

While the research includes face-to-face coaching and telephone coaching, little research has been conducted utilizing online coaching as a modality (Hernez-Broome, Boyce, Pulley, Santana, 2007). Online coaching is defined as

> a two-way communication between a Coach and Coachee that is enabled through the use of technology, particularly computer-mediated communication such as email and online chat or bulletin board. (Hernez-Broome, Boyce, Whyman, 2006)

Given the numerous time demands on those who fill the role of leader, the online coaching process allows thoughtful updates with the flexibility of working at convenient times. In this *asynchronous* process a participant may ask a question and the coach has the luxury of reflecting before answering. Reflection has been shown to enhance the process of development (McCauley & Hughes-James, 1994). This contrasts with a synchronous process—one that happens in real time, as in a phone conversation. While a conversation has the benefit of real time answers to questions, asynchronous online dialog can include periods of reflection before responding.

Readiness factors, personality, and competencies will all play a role in how successful the coaching relationship and its outcomes will be. Hernez-Broome et al. (2007) have identified outcomes from working with online coaching: affective reactions, learning, behavior change, transfer of learning, and organizational impact. Quantitative research is being undertaken by the U.S. Air Force Academy studying best practices for matching of e-coaches and e-coachees (Boyce, Jackson, & Neal, 2007).

The LDP in this study utilizes post-classroom, online coaching included within the online follow-through platform (Figure 2.2) to support the development for an additional ten weeks after the classroom, answering any questions or requests for coaching within 24 – 48 hours through the system.

The Role of Follow-Through in Development. Within an organizational context, some believe that "learning creates value only when it is transferred to the participant's work and applied to good effect" (Wick et al., 2006, p. 3). This requires following-through on development goals. Learning and development initiatives can maximize results by designing an ongoing process. Since learning and development happen over time, it is happening before, during, and after the classroom portion ends (Wick et al., 2006). Wick proposes a paradigm shift that the finish line not be presented as the last day of the classroom, but rather when the learning is applied and results are evident; this means thinking "holistically and systemically, paying special attention to the impact of the participant's manager and work environment on learning transfer and application" (p. 4). The structure of the follow-through period is as important as the structure of the classroom segment. Since development is a process, not a classroom event, it is not likely to happen in the five days of classroom time (McCauley & Van Velsor, 2004). A follow-through platform leverages the classroom and cohort learning, and follows through, offering development as a potential outcome. If development can be socially mediated, this could be a purposeful developmental strategy for design.

Online follow-through—a web-based follow-through management tool—is an intentional design consideration to sustain learning and development beyond the classroom delivery days (Wick et al., 2006). The mechanism of setting a goal on day five

of the classroom experience provides a statement of intention to connect learning to action for outcomes (Rousseau, 1997). Working towards the goals represents *agentic* movement toward the self-identified next steps (Locke, Frederick, Lee & Bobko, 1984; Locke & Latham, 2002; Olivares, 2008). The online platform also includes interaction with peers from the classroom, extending the learning community for another ten weeks, as well as access to the CCL executive coach that the participant worked with one-on-one during their program.

One week after the LDP ends, participants receive an email link to a Fort Hill© (developer of the online follow-through platform and its technology) site. Here, each individual's goals are pre-loaded and waiting to be for updated. Over a ten week follow-through period, update reminders are sent every other Friday for five Fridays—hence the name *Friday5s*®. These reminders serve as an invitation for the participant to reflect upon what has been done, how much progress has been made to this point, what the next steps are, and what lessons have been learned. The platform allows for feedback and/or monitoring performance against one's goals, which renders goal setting more effective; reflecting upon one's performance and adjusting behavior intentionally shows agency (Olivares, 2008). It also asks any of the following impact questions over the weeks:

- What has proven most valuable in your work from the LDP and follow-through?
- What has been your most important lesson learned?
- What was your most valuable insight from the LDP?
- What do you consider your most important achievement so far?
- What type of impact is your personal leadership development having on your group or organization?

Interacting with the platform allows more than updates and responses to research questions; participants can access ideas for development in specific categories by using the *Guide Me* buttons. This online content is available for just-in-time ideas about next steps, based on summary content from CCL literature and other Executive Sound View Summary books. Participants can access peers or the CCL coach for coaching, and commit to the next steps (Figure 2.3) (Forthillcompany.com, 2008). Although goal input is around individual goals, the goals are embedded within a social context of the classroom cohort (Olivares, 2008). This is potentially a socially mediated development tool for individuals and the collective depending on how it is utilized. Each cohort member can see the same cohort members' insights and progress, and easily offer support or ideas. Reflection is encouraged during updates, which should enrich the developmental potential (McCauley & Hughes-James, 1994).

Figure 2.3. Follow-through on learning for improvement.

(Used with Permission from Fort Hill Company, 2008)

Follow-through supports development; designs of learning and development initiatives are increasingly structured with post-classroom support to encourage follow-through.

Having organizational and/or boss support is a sound strategy for development and transfer of learning (Goldsmith, 2005; Mosel, 1957). Given CCL's policy on confidentiality, and not communicating outcomes of the LDP with anyone's organization or bosses, CCL offers support for the sustained learning and development in a different way. Follow-on coaching has been in the portfolio of options, at additional cost, for decades; after a classroom experience one can contract additional time with the same CCL coach for sustained learning and development.

CCL has differentiated itself in the follow-through management design arena by including the support of the CCL individual executive coach within the program offering, accessible online for ten weeks after the classroom is over. CCL's intent behind offering the system, including access to a CCL executive coach and the sustained interaction of the cohort, is to support and solidify the application of learning. "Effective leadership development is predicated not on a single event but on a process—in other words, it takes place over time" (Whyman, Santana, & Allen, 2005, p. 15). This means that "constructive follow-up—such as periodic assessments, continuous setting of goals and tracking of their completion, ongoing feedback, on-the-job-training, and coaching—are key to effective leadership development" (p. 15). Since behavior change takes practice and time before the transfer of learning is complete, this phase is designed to help participants through that period. Archimedes claimed: "'Give me a lever long enough and I can move the world.' Follow-through management—by extending the time over which learning takes place—gives learning and development organizations a longer lever arm with which to overcome organizations' and individual's natural resistance to change." (Wick et al., 2006, p. 120)

Linking Development Programs with Organizational Culture. The importance of linking development programs to an overall leader or leadership development culture within an organization is emphasized by many authors (Allen, 2006; Conger, 1989; Martineau, 1997; McCauley & VanVelsor, 2004). When linked to other developmental experiences and support within an organization there is more opportunity to provide long-term impact. Allen (2006) specifically advocates for integration of leadership development efforts with Human Resource systems—which include technology, personal development plans, reward systems, the immediate supervisor, hiring, succession planning, career development, and performance management. This is more difficult when the participant comes alone to an open-enrollment, or public, type of program such as LDP. *Public* means that participants who work in different organizations attend the program during the same week, forming that cohort. The responsibility of organizational integration then rests on the participant to activate support within the organization upon return.

The development program under consideration for this study (LDP) is based on an understanding of adult development theory and developmental psychology. Day et al. (2009) specifically call for more integration in the fields of leader development and adult development for effective leader and leadership development initiative design. This study will look for indications of leader development and/or leadership development.

The CCL Leadership Development Program (LDP)

History and Purpose

CCL, a non-profit educational institution, has imparted the LDP since 1974. In 2007, this highly personal assessment-for-development open-enrollment program shaped

the lives and careers of more than 3,500 participants at ten locations around the world. The underlying principle of self-discovery as a tool for leadership development has remained consistent (http://www.ccl.org/leadership/pdf/programs/ldp.pdf?pageId=135, 2009). This program targets mid to upper level managers as the audience (20% of enrollees were mid level managers, and 43% upper middle level managers in 2005) (CCL, 2005). The LDP does not teach hard skills/technical skills, nor is it a *training* program. It is a development program focused on self-awareness and assessment for development, not selection (Dorn, 1974).

Robert Dorn, designer of the CCL LDP program in 1974, envisioned a Feedback-Intensive Program (FIP) where an individual could receive assessment data (psychometric instruments, 360-feedback instruments, and assessments from leaderless group activities during the week), peer feedback, and executive coaching in a safe, supportive environment; armed with this data a participant might

> see significant patterns of behavior more clearly, make better sense of the attitudes and motivations underlying these patterns, reassess what makes the person more or less effective relative to the goals he or she wants to attain, and evaluate alternative ways of meeting these goals. He believed that the task of a creative leader is to envision and help bring about change which has positive, long-term consequences, not only for a single part of the organization, but for the organization as a whole, and the society of which it is a part. An inseparable part of this task is to help each person in the organization develop to his or her fullest potential, not only as a contributing member but as a unique human being. CCL's Leadership Development Program was a realization of his vision and the first of many FIPs developed over time by CCL. (Guthrie & King, 2004, pp. 25-26)

Dorn (1974) intended to increase an individual's self-awareness, an important aspect of what is now called emotional intelligence (Goleman, Boyatzis, & McKee, 2002). The focus on developing an individual would classify it as a *leader* development program. He believed that awareness gleaned through assessment would position the individual to make better informed choices about leading. These decisions about behavior

in the role of leader would impact those around him/her, and his/her organization. Therefore, the focus on *leader development* was assumed to have *leadership development* impact as well. This is important as the definitions of leadership shift from an individualized focus to a more relational and collective one; a comprehensive lens suggests focus on both individual and collective areas are important (Day, 2000; Drath, 2001; Criswell & Martin, 2007).

Furthermore, Dorn (1974) stated that the LDP purpose was to help leaders become happier, more productive people, so they could enable others to be so, as well. Although Cook-Greuter (2004) states that development does not guarantee greater happiness, and sometimes awareness brings more complicated decisions, Dorn singled out these three critical areas for leader development to improve leadership. In these turbulent times of change and heightened expectations of leadership, happier, more productive people enabling others to be happier and more productive has the potential of serving our organizations well, as outlined in *positive organizational psychology*—a new discipline focusing on the best of the human condition within organizations (Cameron, Dutton, & Quinn, 2003).

Dorn very much believed that humans, given assessment information about themselves, would usually choose behaviors to improve their work and life, and therefore help others around them be happier and more productive (Dorn, 2008). This aspect of the LDP is not featured on marketing material; marketing highlights the organizational benefits of developing leaders, especially in turbulent times (www.ccl.org, 2008). If there *is* transfer of leader development (human capital) to leadership (social capital) the program would be quite impactful.

This LDP has defining features: “feedback is rich and comprehensive, content is challenging and relevant, multiple methodologies and activities are used, a safe and supportive learning environment is established, and assessment, challenge, and support are integrated” (McCauley & Van Velsor, 2004, p. 27). Although challenge and support are cited in most adult developmental literature as necessary components of a developmental experience (Day, et al, 2009; Kegan, 1982; McCauley & Van Velsor, 2004; Palus & Drath, 1995), and CCL’s model for leader development adds assessment as a third variable (McCauley & Van Velsor, 2004) for intentional development, other authors assert that development is a relational process focused on interpersonal and organizational capacity, not just challenge and support (Olivares & Hess, 2006; Olivares & Hess, 2007). Interpersonal and organizational considerations will be addressed to the extent that the participants in this research might specifically mention it.

The Design of the Classroom Portion of LDP

Assessment, challenge, and support is the explicit model for development in the design and the content of this CCL program (Guthrie & King, 2004). Within a supportive environment—provided in the classroom as well as the one-on-one CCL executive coaching sessions—the assessment data are surveyed. An idea of the challenges facing the participant are informed by the assessment data and the 3 ½ hours of coaching; usually the goals that are set as an outcome of the LDP process represent a plan for change that will represent the next step in the development of the participant. Figure 2.4 offers an overview of chronology of the LDP process: pre-classroom work including assessments and questionnaires, the classroom phase of LDP, ten weeks of Friday5s

online follow-through, and REFLECTIONS—an online retrospective 360 to measure any observed change.

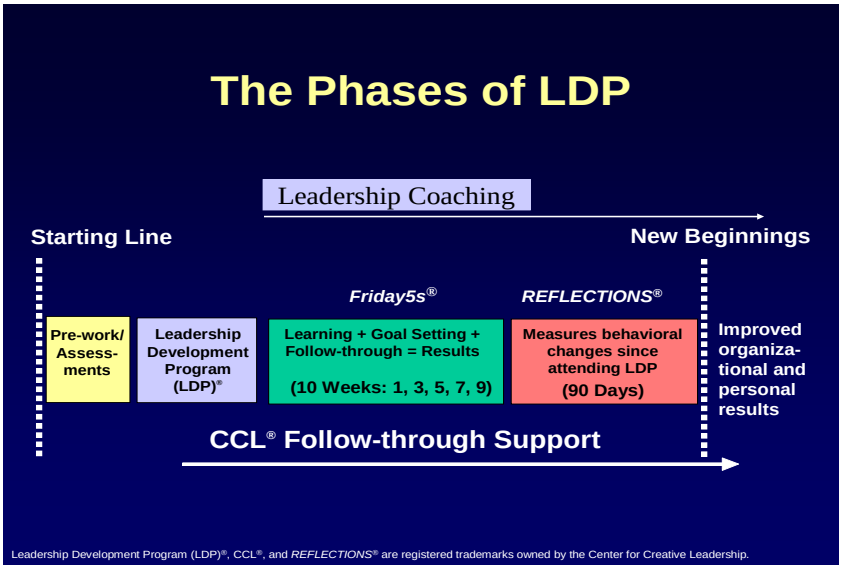

Figure 2.4. Chronology of CCL LDP process.

The purpose of the LDP is to develop self-awareness so that one can lead change, develop people, manage one's self, leverage differences, learn more effectively, and work with others, as stated on the website (www.ccl.org, 2008). A CCL taxonomy is used to identify important aspects of leader and leadership development and to differentiate the public portfolio of CCL programs. From a design perspective, the LDP purports to develop six competencies from the CCL Taxonomy of Competencies: 1) differences and inclusion, 2) change and adaptability, 3) building and maintaining relationships, 4) communicating effectively, 5) developing others, and 6) managing yourself (CCL, 2005). These competencies are developed with *guided practice*, what CCL would call a Level 2 Mastery (CCL, 2005). This guided practice during the classroom portion of the program can be carried forward if a developmental goal in these areas is advanced during the ten-week follow-through period. Other competencies "woven into the fabric of all aspects of

the program," are targeted at Level 1 Mastery which is *critical awareness* and *actionable knowledge* (CCL, 2005). There are other portfolio offerings specifically designed for teams and group competencies, allowing this LDP to focus mostly on the individual within a feedback-rich experience. By linking goals and development plans back to organizational issues, the participants can also have a leader*ship* focus in the LDP.

Currently the LDP runs as a 4 ½ day program, ending by noon on day five. The conceptual flow moves from self-awareness on day one, through impact, intention, integration, and ends with development planning (Figure 2.5) to be carried out post-classroom. Experiential activities—designed to provide practice of new skills, attitudes, and behaviors—are woven throughout the week. Increasing self-awareness is a major focus each day. The activities are designed with principles of adult learning in mind. Content lecturettes, leaderless group activities, videotaping, and Socratic discussion—where the facilitator does not give right answers but creates a space for the group to find their own answers, are used intentionally to insure that different learning styles are accommodated. For example, during experiential activities, participants can learn by doing, by listening, by reflecting, and/or by talking it out with others. This accommodates those who learn by means other than more traditional lecture and note-taking. The intention is for the learning to be translated into doing things differently and position the participant for development.

Figure 2.5. The LDP classroom design.

(Used with Permission Center for Creative Leadership, 2008)

The classroom experience is a mediating influence among the participant, the peers of the cohort, and the plans for development. Feedback provides perspective about where an individual's skills do or do not match an organization's strategy, and what the strengths and weaknesses are. These factors are considered within the context of the specific organization, the aspirations and career stage, the age and developmental level of each participant. By day five, the development may appear different for each individual, even though they have shared and created, to a large degree, the experience of the week together. The individual coaching session focuses the participant on what to do with the learning and insights, and the last module in the classroom provides a whole person focus for goal setting.

Goal setting in LDP is framed from a holistic perspective, inviting participants to consider wholeness and balance of their whole life, including: career, personal, family,

and community goals (Figure 2.6). Since the organizations usually sponsor the participation in the LDP and the 360 feedback usually is provided from the workplace, career is presumed to be the focus of the week's content. For most participants, the last day of LDP classroom includes personal aspects of development; physical health and wellbeing, emotional balance, mental/cognitive challenge and health, and spiritual or sense of meaning of one's life (Santana, 2005). Participants are asked to consider individual, interpersonal relationships, and larger community.

Figure 2.6. The areas to be considered in setting development goals for LDP. *(Used with Permission Center for Creative Leadership, 2008)*

Designing Support for Sustained Learning and Development Post-Classroom

A leader development approach is "oriented toward building capacity in anticipation of unforeseen challenges" (Day, 2000, p. 582). Some organizations will want to measure the competencies of a leader after a classroom and follow-through to compare pre and post measurements for any indication of development (difficulties of pre- and posttest reliability will be addressed in the next section). CCL uses an instrument named REFLECTIONS®, a retrospective 360 assessment designed to measure any change as perceived by the participant, or perceived by other raters who know the participant, in a side-by-side comparison three months after the classroom and online follow-through

segments of the LDP. REFLECTIONS® is a quantitative measurement, more concise than the 360s offered during the classroom portion, which some participants use as a method of quantifying any shifts and changes as a result of the LDP. Although it is beyond the scope of this study, it is one aspect of support designed to sustain learning and development. Coaching and reconnecting with colleagues are also suggested as part of the post-classroom design of the LDP (Figure 2.7).

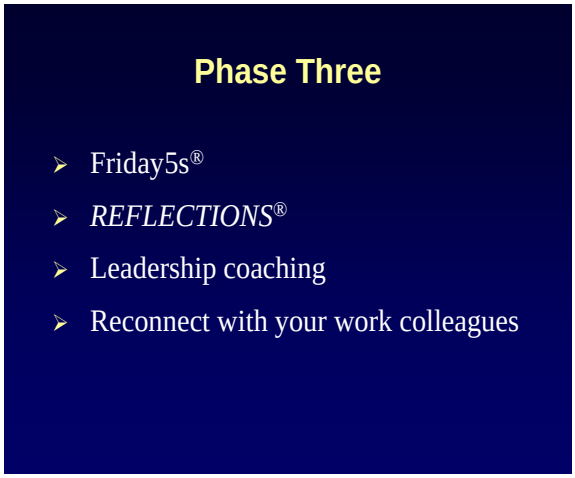

Figure 2.7. Post-classroom design for sustaining development.

(Used with Permission Center for Creative Leadership, 2008)

Overview of Impact Evaluation in General

Questioning the effectiveness of leader and leadership development programs yields a vast field of inquiry. Using search engines such as ABI/Proquest and PsychInfo from 1982 to present, the field indicates a pervasive use of leader and leadership development interventions with little time invested in evaluating their effectiveness (Collins & Holton, 2004) or organizational performance (Sogunro, 1997). Collins & Holton (2004), as well as Day et al. (2009) note that a naïve assumption that these efforts actually improve organizational effort is not questioned, and is taken for granted. Other studies indicate significant financial payoffs in companies that emphasize training and

development (Huselid, 1995; Ulrich, 1997), while a consensus has yet to be reached about what development is. Some say it is every form of shift, growth, or stage that expands leadership potential or performance (McCauley & Van Velsor, 2004). The breadth of definitions, some of which have been outlined in Chapters One and Two, certainly suggests that cross-program evaluations of impact make comparison difficult (Collins & Holton, 2004). Nonetheless, there are certain themes that abound in the evaluation literature.

For example, meta-analyses done by Collins and Holton (2004) yield five findings: 1) competencies are complex and overlapping, 2) experiences help development (not just programs), 3) jobs have differing potential of development, 4) measuring interpersonal skills and organizational effectiveness is difficult considering its multiple levels of analysis, and 5) there is a lack of adequate measurement capacities for organizational realities. Kirkpatrick's (1998) model, although used to measure reactions, learning, and behavior change is not effective at "measuring organizational performance, the effectiveness of an organization in achieving outcomes as identified by its strategic goals, or the realization of a return on investments" (Collins & Holton, 2004, p. 219).

Burke and Day's (1986) analysis of 70 published and unpublished studies from business and industry provided support for the effectiveness of managerial training and leadership development programs while calling for more empirical research and conclusive findings. Criticisms leveled at the field of inquiry included the short time frames of the studies. Another criticism is the reliance on self-report measures found commonly in management development research (Note: leadership and management are terms used interchangeably in earlier leadership literature—even CCL made no

distinction between leading and managing until the 1980's). A third criticism is that the early programs focused on the individual, not the organization (Collins & Holton, 2004).

In the survey of evaluation, outcomes have been grouped into six categories: 1) knowledge-subjective, 2) knowledge-objective, 3) behavior/expertise-subjective, 4) behavior/expertise-objective, 5) system results/performance-subjective, and 6) system results/performance-objective (Burke & Day, 1986; Collins & Holton, 2004; Swanson & Holton, 1999). Different program designs confuse evaluation overviews: single group pretest-posttest tends to be overlooked for meta-analyses because of internal and external validity concerns (Collins & Holton, 2004). Categories of research design (posttest only with control group, pretest-posttest with control group, correlation, single group pretest-posttest) suggest the breadth of the field of evaluation, and the complex nature of universally surveying evaluations of leadership development initiatives (Collins & Holton, 2004).

Overall, however, Collins and Holton (2004) call for updating the Burke and Day (1986) study—considered the classic study of leadership development effectiveness—with more modern meta-analytic methods which would allow comparison; no comparisons can be made across these classic studies, and the relationship between organizational performance and individual leadership is still not clear (Collins & Holton, 2004).

Later studies with constructive-developmental theory and stage assessment begin to close this gap (Harris & Kuhnert, 2008; McCauley et al., 2006; Rooke & Torbert, 2005) and suggest that higher orders of development correlate with more effective leadership. The hypothesis is that skills from all stages of development one passes

through in adult development are present and available to use in the tasks of leadership; the higher the level, the greater functioning at all levels below, the greater the breadth of response to any given challenge of leadership (Day et al., 2009; Harris & Kuhnert, 2008; McCauley et al., 2006).

Fewer empirical studies are reported on coaching, mentoring, feedback interventions, stretch assignments, or on-the-job developmental assignments than for classroom initiatives (Collins & Holton, 2004). A recommendation is made to "separate subjective from objective behavioral outcomes and system outcomes from financial outcomes" (p. 240). This dissertation is focused on subjective perceptions rather than financial outcomes, even though the subjective focus has been criticized by Collins and Holton, and oftentimes financial outcomes speak greatly to those investing resources in training and development budgets. This decision's rationale, with its focus on development not financial outcomes, is discussed in Chapter Three.

Another criticism leveled at existing evaluation of leadership development initiatives is the vastness of findings. Far from explicit and specific outcomes that training programs might yield, development initiatives yield highly individualized and therefore vast outcomes (Denton, 1995). CCL impact studies (McCauley & Hughes-James, 1994; Palus & Drath, 1995) agree that generalizing across participants with such a wide range of outcomes is difficult (Collins & Holton, 2004; Day, 2000; Denton, 1995; McCauley & Hughes-James, 1994).

That being said, CCL has done evaluation of impact and outcomes throughout the four-decade history (Wilson, 2005). Since the outcomes are so uniquely personal—most people draw what they need developmentally from the program—the method of studying

program outcome and impact should include various methods and epistemologies (McCauley & Hughes-James, 1994). Both qualitative and quantitative methods that encompass individual difference of preference, style, and traits, as well as contextual variables including support in home environment and organizational culture, will enhance an understanding of impact. This might also reduce the risk of seeking narrow outcomes. Standard questionnaires filled out by the participant and observers, complemented by interviewing, is a two-pronged approach using both quantitative and qualitative, that is recommended for bringing a more integral, comprehensive understanding of leader and leadership development (Hannum & Martineau, 2008; McCauley & Van Velsor, 2004).

CCL's Evaluation of Leadership Development Initiative Impact

Wilson's 2005 study provides an overview of CCL evaluation efforts since the 1970's. Three focus areas of impact evaluation have been identified at CCL: what types of outcomes have been generated, which program components contributed to those outcomes, and the how and why of varying impact from LDP. The first focus area includes four surveys with 84-87% of respondents indicating positive behavior changes (Wilson, 2005). From content analysis of one survey, unanticipated benefits were identified by participants including: improved relationships with family/friends, increased personal happiness, help with personal problems, and clarification of personal values. This study reported 91% of participants had either achieved or were still working towards their developmental goals after the classroom portion ended (Wilson, 2005).

The second focus area (1988-1996) includes several in-depth evaluations of five different CCL programs (McCauley & Hughes-James, 1994; Van Velsor, Ruderman & Phillips, 1989) identifying varying impacts from within any given program. The

programs' impact was enhanced by extending beyond the classroom with reflective journaling, peer coaching, and workplace projects undertaken during the process (McCauley & Hughes-James, 1994). Designed for self-awareness more than specific content, these programs allow individuals at different ages and professional stages to each draw something of value (McCauley & Van Velsor, 1994). Outcomes cited by participants include: strategies for continuous learning, individual changes, and progress on organizational projects (McCauley & Hughes-James, 1994). Gaining deep insights about styles and preferences does not necessarily translate to behavior change, these studies report. The studies' methods included: telephone interviews, in-person interviews, surveys of participants/co-workers/process advisors, and case study.

Thirdly, client-driven evaluations centered around four themes 1) to what extent is the program meeting individual leadership development needs and how can program impact on individuals be improved, 2) what is the evidence that classroom learning is being transferred and applied and how is this impacting group and organizational outcomes, 3) are the company's business challenges being addressed, and 4) do the relationships between instrument data, performance data, and behavior change have statistical and practical significance (Wilson, 2005)? Overall Wilson finds that leadership capacity among individuals and teams does improve with leader and leadership development initiatives. There are, however, contexts where the lack of managerial support for development, lack of structures to reward the new behaviors, disrupted communication channels, or lack of integration with other developmental efforts will challenge sustained behavioral change or development (Santana, 2006; Wilson, 2005).

The changes reported after a CCL feedback intensive program center around self awareness (knowledge of leadership strengths & developmental needs), other awareness (understanding of how people and perspectives can vary), and motivation to change behaviors (how to set and achieve behavioral goals) (Wilson, 2005).

The interviews of the 2004 CCL LDP Europe Impact Study indicate that the key learnings reported by 75% of respondents were *about self*; 27% about *others see me differently*, 24% about *what I need to do next*, and 19% about *need to be more open to input* (Ascalon, Van Velsor, & Wilson, 2004). This is consistent with other CCL North America LDP study findings (Ascalon et al., 2004). The study highlighted the importance of continued interaction between participants as a source of support for development, as well as the impact of coaching for support. Increased alumni interaction—requested by clients for years—increases the impact of the program (Ascalon et al., 2004). The importance of follow-through for impact has been widely corroborated (Goldsmith, 2005; Papay, 2005; Pfeffer & Sutton, 2000; Phillips & Broad, 1997; Wick et al., 2006) as discussed earlier in this chapter.

CCL research found that lack of time was cited as the biggest problem with following through on content, techniques, or feedback (McCauley & Hughes-James, 1994). Contextual obstacles to follow through centered around turbulence in the work place, work-related downsizing, new CEO's, new job (McCauley & Hughes-James, 1994) as well as personal and psychological reasons: illness, separation, depression, traits, readiness, motivation, and support (Santana, 2006; Wick et al., 2006). In a CCL case study of high and low frequency users of the online system (Santana, 2006), accountability of goals to another person was a differentiating factor between the groups.

It mattered more than motivation, support, readiness, or traits which are cited in research by Wick et al. (2006).

There are data suggesting the types of goals participants set before leaving LDP (Figure 1), where type of improvement is noted by others, and what is considered relevant and useful to transfer back to the workplace. The top three outcomes that participants directly attribute to LDP are: 44% report improved leadership/work behavior, 41% of participants report increased self-awareness, and 21% of responding participants report improved relationships. The outcomes are perceived by 28% of respondents as coming from time to look within, from 23% of participants from interaction/feedback from peers, or with staff (22%), or instruments (21%) (Wilson, 2005). CCL research has shown that relationships with family and friends improve, people increase their personal happiness (one of the original intentions of this program's design in 1970), and that participants get help with personal problems and with the clarification of personal values (Wilson, 2005). Behavior change does happen (Hannum & Martineau, 2008; McCauley & Van Velsor, 2004; Wilson, 2005).

Developmental Goals Set in the LDP Classroom

The original LDP goal categories from the 1970's included: Family, Personal, Career, and Community. These were presented as four developmental areas of wholeness for leader effectiveness. Table 2.1 highlights typical distribution of original goal categories at three North American CCL campuses, and a Latin American CCL Network Associate (Santana, 1994).

Table 2.1

Representative Samples from North America and Latin America LDP Original Goal Categories

LDP Original Goal Categories & Distribution at CCL & TEAM*		
CATEGORY	**1970's US% N=401**	**1994 Mexico % N=100**
Family	24%	24%
Personal	29%	32%
Career	35%	36%
Community	11%	8%

*TEAM® (Tecnologia Administrativa Moderna) is a Network Affiliate of Center for Creative Leadership

The original four goal categories (Table 2.1) differ from LDP's current goal categories (Figure 2.1) which encourage participants to consider the organizational outcomes of working towards developmental goals. This represents an intentional transition from individual leader development focus at CCL towards a more organizational, leadership focus. Those goal categories include: *Build Effective Teams, Demonstrate Leadership, Make Effective Decisions, Develop Adaptability, Manage Change, Self Improvement/ Manage Self, Improve/Increase Self Awareness, Balance Work/Non Work Activities/Life Balance, Value & Leverage Diversity/Global Awareness*. The goal categories can contribute to an understanding of the development priorities upon

leaving the LDP classroom, but cannot inform this research about development by themselves.

Building on Programmatic Research of LDP Post-Classroom:

CCL History and the New Lens

The CCL impact studies overview has provided a context to understand goals and outcomes of LDP. This post-classroom development research leverages the online system to track content, category, progress, impact, and value in an archived database. Never before have the content, progress, or participant reflections been systematically gathered for research.

During most of LDP's execution, the only post-classroom design consideration was a hard copy of the goals written by the participant on the last classroom day that was mailed to the participant three months after the classroom. This was accompanied by a form letter greeting the participant, reminding them of the goals they had set as part of the LDP, asking them to indicate which goals were completed, in progress, or dropped, and return the form to CCL. Knowing that development is a process and not an event, this was designed to remind the participant of their strategy for development upon exiting LDP. The return rate was quite low on these paper forms, which made interpretation of post-classroom shifts quite difficult.

Over the years, the cohorts often talk of staying in touch with each other, of having a reunion, of checking in with each other as time goes forward. Rarely has this been done; usually the email volleys drop off after a few months. Each classroom that I facilitate, I ask to be included in the email distribution list to offer encouragement, and to track the contact post-classroom. Twenty years of anecdotal evidence suggests that

participants, no matter how inspired during the classroom phase, will find it hard to follow-through on staying in touch with each other.

CCL wants to provide support and structure for the follow-through phase. Telephone coaching is offered as a fee-for-service add-on in conjunction with the LDP. Usually in the format of three one-hour phone calls over a period of a few months, the individual's one-on-one LDP coach can continue the work begun together, check in for updates, and offer strategies to overcome challenges in development. Many participants express interest in this option after their one-on-one session, but the sign up rate is between 7% and 12% depending on the campus. The cost of contracting follow-on phone coaching is currently $1,095 for three calls, prohibitive for some who have just used significant resources to attend the LDP.

One challenge to finding effective ways to support post-classroom development is the volume of participants—approximately 3,500 participants each year. These participants attend the LDP at one of the five CCL campuses in North America, Europe, and Asia, or with Network Associates (licensees) who deliver LDP in different languages around the world. Finding scalable ways to support so many participants' highly individualized developmental goals, over time zones, and in different languages and contexts offers a challenge.

LDP has been revised over the decades; in 2003, the revision team studied CCL marketing research indicating that LDP should include some kind of technology and should have some after-classroom follow-through support for development. The CCL *Blended Learning Strategy Team*, of which I was a part, researched how to combine face-to-face classroom delivery with some form of technology to encourage development over

time. The team was tasked with using technology to design a follow-on structure for LDP. We found Fort Hill Company, whose online platform, Friday5s®, seemed to address these needs, including scalability, language capability, and asynchronous access that might support development.

2004 North America Pilot. During one specific week in the summer of 2004, the BLS team planned and executed a pilot using Friday5s® simultaneously at each North American campus (Greensboro, Colorado Springs, and San Diego). The average usage rate was 83% across all three North American campuses and considered successful (Santana & Whyman, 2005). The decision was made to launch across North American CCL campuses.

2005 System-Wide Launch. North American CCL campuses launched in January 2005 with Europe and Singapore campuses following within the year. During the first year, the overall usage numbers were relatively stable: 79% utilization rate average across campuses. Upon closer inspection, it was noted that although 79% of the participants were using the system at least once, many were not updating all five times. The coaches who were contracted to respond to any online coaching requests within 24-48 hours were only being accessed an average of 2.4 times per participant throughout the ten-week period (Santana & Whyman, 2005). The coaches were only invited in to view the participants' goals if requested by participant to provide coaching. In this user-driven system the coach was often not accessed and lost track of the post-classroom development. The value of the online follow-through system needed to be examined.

2006 Case Study. In an exploratory mixed-methodology case study of the value of this online follow-through platform, empirical data from 2,084 participants provided a

purposeful sample to examine who was making significant use of the follow-through system (Santana, 2006). Of the five updates possible, high frequency users were considered to be those who used the system four or five out of the five possible times; low frequency users were considered to be those who did not use the system at all, or who only used it one time. SPSS was used to examine three quantitative data sets comparing high- and low-frequency users: psychometric data (Myers-Briggs Type Indicator, FIRO-B, California Psychological Inventory); 360 assessments (Benchmarks, Campbell Leadership Index); and demographic data (organizational level, last degree earned, gender, age).

There were few differences between the high-frequency and low-frequency users in terms of quantitative psychometric data (MBTI, FIRO-B). The high-frequency users tended to be older (43.7 years mean) than the low-frequency users (42.5 years mean) statistically significant at the .05 level. There were no significant differences in gender or level of education between the groups (Santana, 2006). However, low-frequency users represented 41.9% of the users (n=874) and high-frequency users represented 27.7% (n=577). I wanted to understand why 41.9% of the participants did not make significant use of a development tool.

The need to understand the story behind the numbers prompted telephone surveys. Given the few differences between the two groups, the decision was made to contact both high-and low-frequency users for insights about the value derived from using the online system to track progress. Psychometric indicators were not used to determine which participants would be contacted for telephone interviews. The survey questions asked about the follow-through experience with the online platform, about motivation and

challenges to making progress on the goals, and about the value of online follow-through system (telephone survey questions in Appendix A) (Santana, 2006). Few differences existed between those 4 high- and 4 low-frequency users. Both groups cited being motivated, having support, being ready for change, and accountability, although the high-frequency group reported bosses circling back to check in on progress, while no low-frequency participants indicated boss follow-up. The number of goals was similar for each group, and the content of the goals was mostly about balancing work and non-work activities for low-frequency interviewees while no high-frequency group had goals about balance. Self-improvement represented 3 goals (not represented in the low-frequency group). While there are interesting questions about people citing balance as the area for development not making time to update progress on goals, or people with self-improvement goals using the system, eight interviews were conducted, which is too small of a sample size to be used to generalize. The value of online follow-through for supporting progress (on a scale of 1-5 with 1 being not at all and 5 being very supportive) was 1.75 for the low-frequency group and 3.88 for the high-frequency group. Both groups reported making progress on their goals, even though the low-frequency group found it difficult to remember what the goals had been. More progress was indicated for high-frequency group, however, this can be attributed to more updates posted provide more opportunities to report progress than with those who used it only once.

The obstacles to follow-through cited in the telephone interviews included: balance, time, being distracted, not working on goals during classroom goal time/being distracted and not doing it afterwards, and work taking over post-classroom (Santana, 2006). It was considered *valuable* for its ability to refocus participants on goals every two

weeks after the classroom, and to keep development as a priority. Accountability with someone else other than the computer system seemed to be important to many high-frequency users. Almost every telephone interviewee claimed to want a more personal follow-up than computer interaction. Their suggestions included a personal phone call with coach or faculty, and another face-to-face classroom time. CCL considers its programs high-touch given the amount of one-on-one time and small group activities. The ability of high-tech to combine with high-touch becomes important as program designers search for effective, scalable ways to support leader and leadership development post-classroom (Santana, 2006).

The currently proposed research is informed by the few psychometric or demographic differences evident between those who used the system significantly and who did not in the 2006 case study. Given that both groups had made progress on goals even though some did not make use of the online follow-through system, differentiation between those who used the system or did not use the system is not of interest here. The next step in the programmatic research is to seek understanding of the experience of development post-classroom, and its impact. It is not assumed that those who do not report through the system are not making progress. The online follow-through is simply the structure through which the first-person data are continually arriving. Participants who take the time to report progress, and within that report claim that a goal is completed, will be assumed to have experienced a difference in how they perceive themselves or the workplace.

2008 Exploratory Research: CCL Assessment Data Mart (ADM). After gaining insight about goal content, usage frequencies, goal progress, and goal achievement, the next step in programmatic research was to identify which sources might provide evidence of post-LDP-classroom development (Santana, 2008). Working within the CCL ADM—a collection of CCL's participant databases containing biographical, demographic, psychometric, 360 feedback, and now the online follow-through system data—a search was conducted to locate sources for learning about our participants' development for ten weeks after they left.

When data from third parties, such as Fort Hill, are imported to the CCL ADM, the import/export process can be complex. The resulting databases are not normalized and contain duplicate data. The Fort Hill data are split into three databases: Goal View, Question View, and Feedback View (Santana, 2008). Determining how many participants set goals, how many completed goals, or how many responses is complex since there are multiple goals for each participant, multiple entries for each goal, and since responses are attached to a goal various times counting as various entries. The imported database is a large quantity of unstructured data about participants' interactions with the web interface of the follow-through tool.

The research pilot revealed that each query had to be done individually, building an Excel data set for analysis and merging data sets. For example, to calculate the number of total goals or goals within each category, all goals were identified by their unique goal number and then a filter was placed to allow only the last entry for any given goal number. To determine how many goals or participants, the process was similar: filter out all but the last goal or participant unique identifying number. The response build required

importing all responses to the question chosen for this research, then allowing only one response per unique goal identifying number. This method allowed only one response to appear per goal; many participants had completed responses to two goals. This yielded the 703 unique responses from 1,019 original responses that contained some duplicated responses. The 703 responses to the question *"What is the personal or organizational impact of achieving this goal?"* that were found in the ADM provide a rich source of information from the participants' unique perspective—a subjective perspective.

Alternate Data Source: Fort Hill's LeaderView. In an effort to identify potential sources of information on post-classroom development, the study also investigated *LeaderView*, Fort Hill's live, online view of all current and recently completed groups (Santana, 2006). *LeaderView* is a visually simple way of navigating the data as the ten-week follow-through period is in progress, and up until it is exported to CCL as a static archive. The *LeaderView* dashboard is easy to use; it is simple to determine how many goals are set in each category by displaying a color coded pie chart with numbers. It also indicates how many responses to the questions are posted (Figure 2.8).

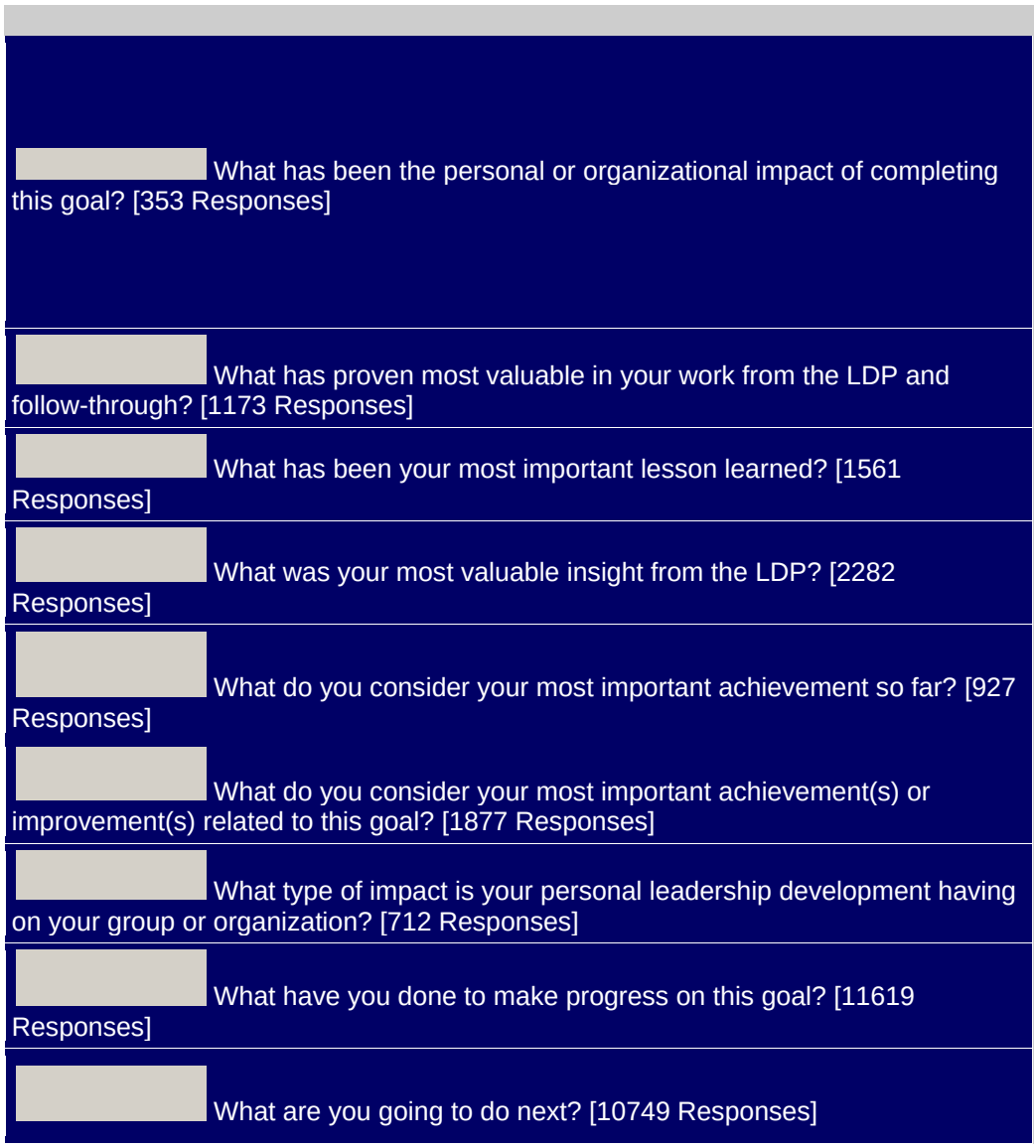

Figure 2.8. Impact questions and response frequency across all campuses from LeaderView.

A search can separate out the active groups from the completed groups. This allows researchers to watch a group in progress and to understand endpoint data for active *and/or* completed groups separately or combined (Table 2.2). Table 2.2 shows all groups by campus and percentage of participants updating on Update 1 (U1) through Update 5 (U5); the average update per person is shown in the last column. As a CCL

faculty who is researching post-classroom follow-through system usage, I am granted access to ADM by CCL, and to *LeaderView* by CCL and Fort Hill.

Table 2.2
Leader View Participation Frequency on Updates, Reported by CCL Campus

Group Status: ◉ All ○ Active ○ Completed

Group Name	Course Date	OtherID	Particip	U1	U2	U3	U4	U5	Avg. Per User
Brussels			303/408 (74%)	258/397 (65%)	156/378 (41%)	114/331 (34%)	88/314 (28%)	114/293 (39%)	2.13 Updates
Colorado Springs			717/937 (77%)	623/923 (67%)	434/898 (48%)	310/877 (35%)	272/877 (31%)	316/860 (37%)	2.2 Updates
Greensboro			1175/1522 (77%)	1044/1506 (69%)	725/1460 (50%)	526/1436 (37%)	395/1387 (28%)	521/1354 (38%)	2.25 Updates
San Diego			879/1152 (76%)	765/1133 (68%)	529/1111 (48%)	347/1085 (32%)	275/1036 (27%)	371/1026 (36%)	2.12 Updates
Singapore			113/167 (68%)	75/167 (45%)	65/167 (39%)	40/147 (27%)	38/147 (26%)	51/147 (35%)	1.74 Updates
Total:			3209/4213 (76%)	2785/4150 (67%)	1922/4038 (48%)	1337/3876 (34%)	1068/3761 (28%)	1373/3680 (37%)	8485/19505 (44%)

To compare the two databases reveals the challenges and advantages of each. There are 219,000 data entries in one of the three ADM Friday5s databases. ADM is vast and difficult to navigate, however, it allows data to be examined by powerful tools such as SPSS. It links, via a unique identifying number, each participant in the follow-through system with the CCL ADM databases of biographical, demographic, psychometric, and 360 feedback. Although easier to navigate, *LeaderView* offers no way of linking the participant with their unique identifying number or any of their individual CCL ADM data; it gets linked when the export/import is effected and no longer available through

LeaderView. The result of the study suggests that navigating the complexity of the ADM is potentially valuable and can provide rich detail to inform the research (Santana, 2008).

The online platform, then, allows a convenient lens for understanding CCL post-classroom development; never before has this constant view been available, only the periodic impact evaluations summarized in this chapter. This allows a potential contribution to the field of inquiry of leader development and leadership development from those experiencing the developmental process.

In summary, this chapter discussed the evolution of thinking about leader and leadership development; it outlined the importance of developing the individual who assumes the role of leadership (leader development). It also presented the interpersonal and collective focus of leadership development, which is about improving a collective capacity. While these two development processes are differentiated, it is their integration that provides a comprehensive lens.

Theories of development were also outlined in this chapter. The stage theories emphasize development as moving to a next stage by including and transcending the prior stage. Socially mediated (*sociogenetic*) perspectives emphasize that development can occur in the interaction between people, in the space between and among people. Development is seen as a process, rather than an event, with many contextual considerations. The roles of program design, goals, follow-through, and coaching were addressed to enhance transfer of learning and expand the opportunity for development. The importance of transitioning from a leader or leadership development *event* to a *process* highlighted the need for follow-through. The online platform used to support the

participant and extend the learning community was discussed. Finally, CCL's LDP was described and prior evaluation of impact studies was summarized.

Chapter Three: Methodology

Chapter Three begins by situating the study within the philosophy and theory of method chosen for this research. Mixed methodology and a larger perspective on methods are addressed. A discussion of the study design and procedure follows.

Positioning The Methodology Choice Within Philosophy and Theory

As highlighted in Chapter One, *constructivism* represents the worldview of each participant's meaning-making and responses. This research uses *postpositivist* worldviews to make sense of the data. The responses are coded as data to understand patterns and frequencies of themes. Constructivism and postpositivism may seem at odds occasionally, but combining the two enhances this study. In this research, the philosophical assumptions are *not* made that one worldview is best—a *purist* stance, but that researchers can honor each worldview and utilize multiple ones in the same body of research. This *pragmatist* stance believes that multiple paradigms can be utilized within the same research, addressing the problem with enhanced data (Creswell & Clark, 2007). The approach of this research might also be described as a *situational* approach given that the online follow-through system presents the first constant data stream available to CCL for monitoring all cohorts for post-classroom experience.

Mixed Methodology and Its Relationship to This Study

Combining qualitative and quantitative methods of understanding information is called mixed methodology (Creswell & Clark, 2007). It allows a more robust understanding of the phenomenon under consideration. This mixed-methodology study relied initially on the constructivist worldview to understand how participants made sense of LDP. It did this by identifying and analyzing the themes that emerge from LDP

participants. As these themes were identified, it was possible to reframe the emerging data and analyze the frequency of certain themes or ideas. The qualitative data—the views of the participants—were then represented in numerical or quantitative data.

Differentiating between methodology and methods can be helpful: methodology "refers to the philosophical framework and the fundamental assumptions of research" (van Manen, 1997; Creswell & Clark, 2007, p. 4)—the entire process, while methods are "more specific…techniques of data collection and analysis" (Creswell & Clark, 2007, p. 4). At a data analysis level, this study utilizes mixed methods; at a methodological level—where at some stage in the process both qualitative and quantitative data were collected—it is also considered a mixed method.

For clarity Creswell and Clark (2007) offer the following definitions:

> Mixed methods research is a research design with philosophical assumptions as well as methods of inquiry. As a methodology, it involves philosophical assumptions that guide the direction of the collection and analysis of data and the mixture of qualitative and quantitative approaches in many phases in the research process. As a method, it focuses on collecting, analyzing, and mixing both quantitative and qualitative data in a single study or series of studies. Its central premise is that the use of quantitative and qualitative approaches in combination provides a better understanding of research problems than either approach alone. (p. 5)

The philosophical assumption that a participant knows his or her own experience, favors the qualitative methodology to begin the data analysis. As a method, it allows a mixture of both quantitative and qualitative data to inform the findings.

The discussion of methodology is larger and more subtle than simply mixing methods. Proponents of *transdisciplinarity*—transcending existing disciplines—call for new methodologies in a field as complex as leadership (Nicolescu, 2007; Volckmann, 2007). Nicolescu (2007) differentiates between *multi-disciplinarity* (studying an idea from a given discipline with ideas from other disciplines), *interdisciplinarity* (transferring

methods from one discipline to another) and *transdisciplinarity* (where "information circulates in between disciplines, across disciplines, and even beyond any discipline") (p. 77). *Transdisciplinarity* is radically different and a

> new intelligence which connects the analytic mind with the feelings and the body. It is connected with personal experience, but not any kind of experience, because experience in general is chaotic…it's a reality that still has laws and rules and is obeying the axioms. (p. 84)

Integral methodological pluralism aims to bring together all manner of "embodied living, doing, injunction, action, engagement, interaction, and inquiry" (Snow, 2007, p. 7) by including diverse strategies for evaluation and knowing. Given the complexity of metrics and assessment strategies, this pluralism includes and transcends traditional methodologies in the pursuit of evaluating leader and leadership development programs.

This study's philosophical stance was that combining methods—rather than being locked into one—allowed a rich understanding of the human experience. The postpositivist study began with qualitative information and sequentially translated it into quantitative data for analysis. This is represented as [QUAL→QUAN→results] in mixed methodology terms (Creswell & Clark, 2007). Emergent findings from Phase One and Two influenced which demographic data or psychometric data were sought out in Phase Three. The quantitative data suggested new areas to assess in the qualitative responses. The two fields of information informed one another in a dialectical approach. Mixing methods, in this case, renders a more full understanding of the rich human experience.

Thematic Analysis and Content Coding

> Thematic analysis is a way of seeing. Often, what one sees through thematic analysis does not appear to others, even if they are observing the same information, events, or situations. To others, if they agree with the insights, the insight appears almost magical. If they are empowered by the insight, it appears visionary. If they disagree with the insights, it appears delusionary. Observation precedes understanding. Recognizing an important moment (seeing) precedes encoding it (seeing it as something), which in turn precedes interpretation. Thematic analysis moves you through these three phases of inquiry. (Boyatzis, 1998, p. 1)

Thematic analysis is a process, rather than a method, that can be helpful in understanding, perceiving, and making sense of information; it allows qualitative data to render quantitative data as a code for understanding the data that emerges (Boyatzis, 1998). The purposes of thematic analysis are varied; according to Boyatzis, it can be used as:

1. A way of seeing
2. A way of making sense out of seemingly unrelated material
3. A way of analyzing qualitative information
4. A way of systematically observing a person, an interaction, a group, a situation, an organization, or a culture
5. A way of converting qualitative information into quantitative data (p. 4, 5)

A code that emerges is a list of themes or patterns that the researcher is able to observe upon careful reflection of the data (Boyatzis, 1998). A phenomenon as vast as impact of development generates a large amount of data. Such a wide range of responses (open text boxes) requires a process capable of making sense in a systematic way. This allows a more careful study of the phenomenon under consideration, as the researcher sees a pattern that would not otherwise have been visible to another observer and can make it evident to others. These patterns observed allowed the responses to be linked

with aforementioned sensitizing concepts of development; the patterns evolved, however, from the participants' comments, rather than one chosen theory of leadership. Thematic analysis has been enhanced by the use of computers and technology and can be a bridge between different fields or disciplines—positivist and constructivist, for example (Boyatzis, 1998).

For thematic analysis, the researcher must be able to *see*—Boyatzis' phrase—or perceive patterns in the data, to use codes reliably, to develop codes and also interpret the information within a conceptual framework (Boyatzis, 1998). An obstacle to developing the ability to do this is having one's own ideas or theories projected on to the work—seeing what one *expects* to find instead of what *is* there. Although there may never be a value free science, and one's own ideas may be projected on to the work, practice is one way to move past this projection, according to Boyatzis. Choosing an appropriate sample is important in thematic analysis, as well as assuring that the researchers are rested and ready to code since "qualitative research *is* subjective" (p.15).

Thematic analysis allows the researcher to look both at the underlying aspects—the *latent* content—of the phenomenon, as well as the more obvious—*manifest*—content (Boyatzis, 1998) when developing codes. Interpretation is more subtle with latent content, as the researcher makes assumptions about the ideas that the words represent. The words used explicitly are manifest content, and their interpretation is more straightforward. For this reason, this study focused on manifest content. The reliability of interpretation from consistency of raters (Boyatzis, 1998) is addressed in the interrater reliability discussion.

There are three stages of thematic analysis: 1) deciding on sampling and design issues, 2) developing themes and a code, and 3) validating and using a codebook (Boyatzis, 1998). The second stage includes a continuum of possible approaches ranging from theory driven, through prior data or prior research driven, to inductive or data driven. The dichotomous ends of the continuum represent how much coding starts from understanding theory at one end, or starts with raw data at the other. The closer the coding to the exact respondent's words, the greater the likelihood of being encoded similarly which can increase interrater reliability, and positively impact validity (criteria and construct) (Boyatzis, 1998).

The code's structure needs a label, a definition of the theme's issue, indicators on how to know when the theme occurs, a description of what qualifies or gets included in the theme, and examples for clarity (Boyatzis, 1998). An effective code captures the richness of the phenomenon as well as be specific enough to promote high interrater reliability and validity.

When the code book allows raters to be clear about the definitions of the codes, and to be in agreement about the criteria for choosing the code, the codebook will bring:

1. Reliability for the positivist or postpositivist
2. Dependability for the postmodernist
3. Ability to communicate with others (i.e., engage in social construction) for the hermeneutic, interactionist, or relativist
4. Ability to interact with others about observations (i.e., dialog or conversation) to the relationist

(Boyatzis, 1998, p. 146)

Creswell and Clark (2007) describe the unfolding of the coding process in these two excerpts:

> Qualitative analysis begins with coding the data, dividing the text into small units (phrases, sentences, paragraphs,), and assigning a label to each unit. This label can come from the exact words of the participants (in vivo coding), a term composed by the researcher, or a concept in the social or human sciences. (p. 131)

> The core feature of qualitative data analysis is the coding process. Coding is the process of grouping evidence and labeling ideas so that they reflect increasingly broader perspectives. Evidence from a database is grouped into codes, and codes are grouped into broader themes. Themes then can be grouped into even larger dimensions or perspectives, related, or compared. (p. 132)

Overview of Study Design

This research was based on CCL's Leadership Development Program (LDP). This program has been running since the 1970's and currently runs at all five campuses in its current design. Most participants attended in North America (Greensboro, N.C., Colorado Springs, CO, and San Diego, CA), although Europe (Brussels), and Asia (Singapore) also had participants. The cultural variables were not highlighted in this research; the same design was used at every campus and initial study indicated little variance across campuses (Santana, 2004). It was a three-to-six month process depending how far ahead of time participants began to fill out assessment data; it included a 5-day classroom experience focusing on self-awareness, and culminated by setting developmental goals. Participants were poised to "learn strategies for continuous development through extensive assessment, group discussions, self-reflection, small-group activities and personal coaching" (http://www.ccl.org/leadership/programs/individual.aspx). The goals were entered into an online follow-through platform for the participant to track the progress, challenges, and insights over the following ten weeks. If the goal was marked as completed at any time during the ten-week online follow-through process, the participant was asked, "What is

the personal or organizational impact of completing this goal." The responses informed the research. The sequence flow is illustrated in Figure 3.1.

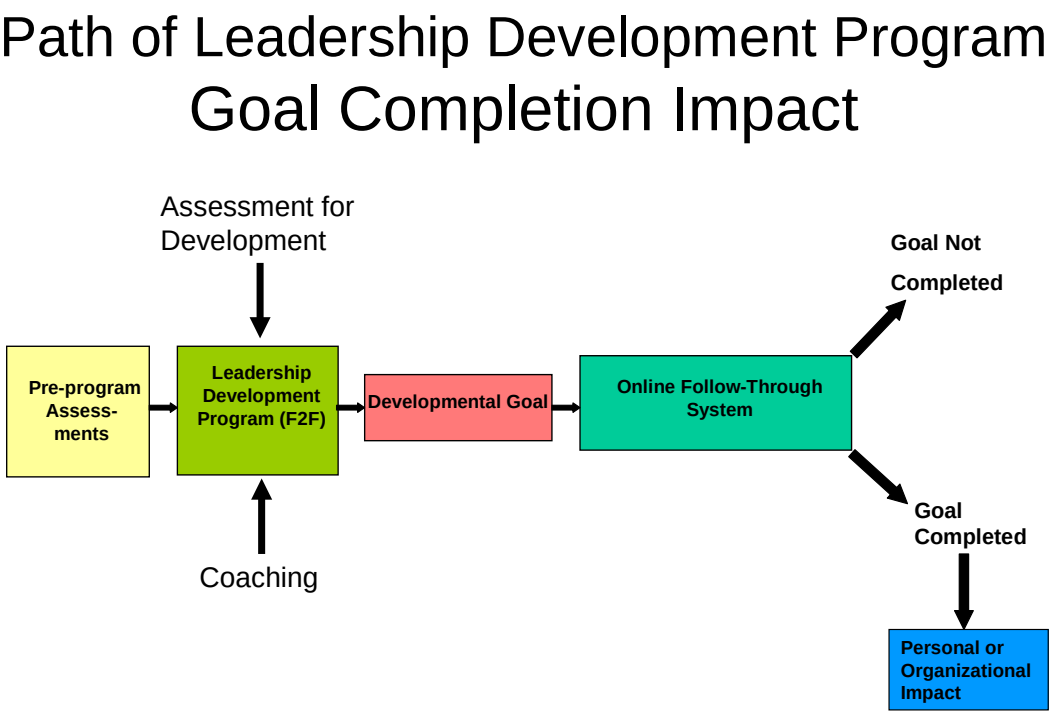

Figure 3.1. Path of LDP goal completion impact.

In this sequential mixed method design, content analysis and thematic coding were used to understand the archival data collected as a part of this leader development initiative. There were two main sources of data collection: archival demographic data and comments logged into an online follow-through platform designed to track progress, goal completion, and impact. Sample selection occurred on an individual level and at a response level. After the qualitative, exploratory, content analysis of responses, descriptive statistics were used to explore patterns of those emergent responses, and

inferential statistics were used to seek significant findings. Adult developmental theories grounded the theoretical analysis.

General Overview of the Study's Phases

The three phases of this sequential study used qualitative and quantitative data together. The first phase examined some of the participants' comments—qualitative data—to understand what ideas or themes emerged from the comments. The researcher noted the themes, compiling and making sense of the list. Codes were given to the ideas, and related codes were grouped according to similar or related content. This is called *thematic analysis*, addressed in the previous section (Boyatzis, 1998).

After codes were created from some of the data, the next phase examined more data to confirm that all ideas were represented by the codes. The second phase confirmed that the existing codes encompassed all of the responses.

The coding allowed a quantitative indication of how often a certain theme or idea emerged and how the themes were connected. The third phase performed frequency counts to understand the patterns of the themes—for example, which ones were more prevalent, or what patterns of response emerged. The quantitative data included demographic data about the participants who reported personal and organizational impact. Figure 3.2 shows an overview.

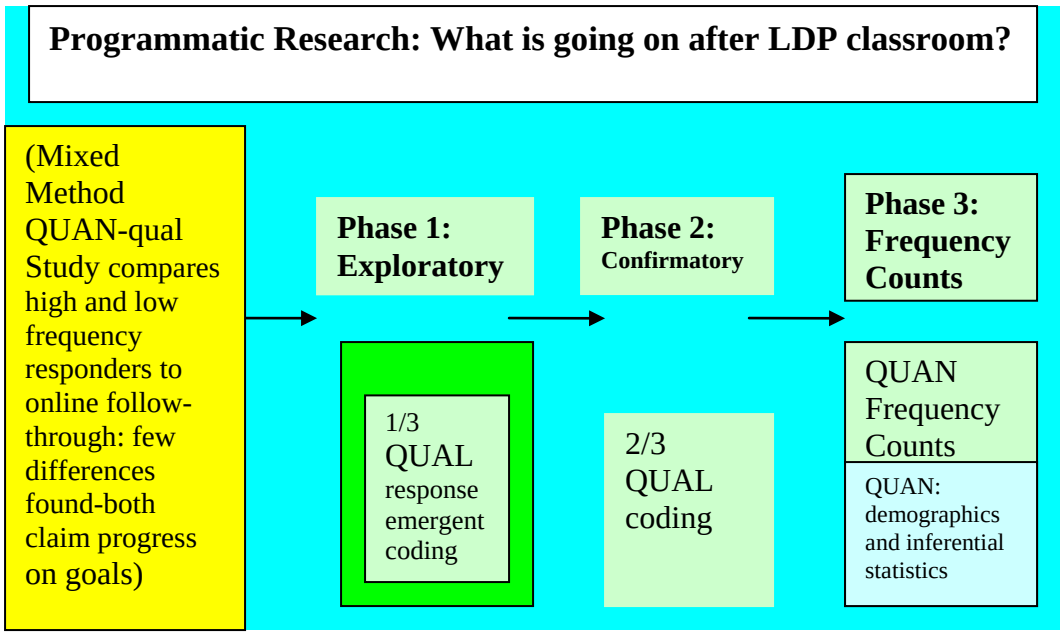

Figure 3.2. Programmatic Research: This study's three phases of sequential mixed methodology research.

Procedure: Process, Sources, Level of Analysis

Process:

A *data-driven* approach—one that accepts the response as data and inductively codes the data—instead of a theory driven approach (which generates the code from theory) (Boyatzis, 1989), was used for this thematic analysis. The five steps for developing the code were:

1. Reducing the data (raw information)
2. Identifying themes within subsamples
3. Comparing themes across subsamples
4. Creating a code
5. Determining the reliability of the code

Inter-Rater Reliability and Validity. Three coders participated in this research: two people who were external to CCL and who were not familiar with the LDP, and the researcher, who knows the CCL LDP. Intentional effort was made to include coders who are not aligned with prior assumptions about LDP outcomes. This broadened the perspective beyond CCL experience. The researcher considered availability and willingness for each potential coder, however the most important criteria utilized in choosing coders were the ability to identify and understand complexity of thought. In prior conversations with the researcher, the chosen coders had demonstrated a capacity for insight and perception with their observations. If a coder were less developed than the participant, it would have been difficult to note what was beyond the coder's own field of vision (Cook-Greuter, 2007). Coders did not need to be familiar with developmental theory, but rather adept at identifying content and patterns from within the data.

To insure validity and reliability, efforts were made to reach consistency in coding among raters. With qualitative research, there is a focus on *validity* (it measures what it claims to measure) to make sure the researcher's account is *accurate, can be trusted, and is credible* (Hannum et al., 2007). *Reliability* (the assessment provides consistent results) is addressed by the multiple coders reaching agreement on codes for responses, and in their consistency of judgment (Boyatzis, 1998). To insure validity and reliability, the phase of training to taxonomy included a measure of interrater agreement, as did each round of Phase Two.

In order to avoid rater fatigue, the database was broken into three rounds of a manageable size for coding. Each round consisted of 25 protocols coded independently

by a coder, in addition to 25 overlapping protocols coded by all three coders. To address reliability, the overlapping protocols were used to calculate interrater agreement during each of the three rounds by utilizing the eight domains which emerged from the coding taxonomy. In an *average measure reliability* (Yaffee, 1998), the interrater agreement calculations measured an average of how often there was alignment between rater A and rater B, between rater B and rater C, and between rater C and rater A. This was important to avoid raters' codings from drifting away from each other, and to address reliability through alignment of coders.

Phase One: Exploratory Analysis. To reduce the raw information, Phase One initially utilized a randomly selected 142 of the 703 online follow-through responses to the question "what has been the personal or organizational impact of completing this goal?" This question was only asked of those who indicated completion of a goal. An Excel document was created for reporting these impact statements for Phase One, having removed any identifying data (mention of participant, colleague, or organization name). An identifying number was assigned to each impact statement in the Excel document for ease of discussion and coding. The Excel documents were stored on the researcher's computer and backed up on the CCL network.

An electronic set of data with identifying marks removed was sent to each coder prior to the first meeting. An overview of the process and the agreement for working together was outlined, and three coders began to discuss the first twenty protocols. After each coder discussed themes observed from an individual perspective, a discussion between the three facilitated an emergence of information contained within the statements. To develop themes within samples, each protocol was thoroughly read by

each coder, and notes/memos were taken in margins signaling each idea contained with the response. The *unit of analysis* was the individual who responded to the prompt. Many participants' responses included multiple ideas and therefore the *unit of coding* was by idea. For example, there were comments about the personal impact, and also comments about the organizational impact, or there were responses about one's subjective inner world and behavior observable by others. Each separate idea's theme was coded even if various hailed from one single response.

The initial work was done with the guidance and input of the methodologist. An agreement was reached to only use the manifest words of the participant, rather than the implications we might have assumed to be behind the words. Strict adherence to this principle was maintained throughout coding for reliability of interpretation (Boyatzis, 1998). Given the ambiguity of some comments, the coders asked to see the goal statement linked with the impact statement. While creating the taxonomy, the coders sometimes utilized the goal statement when necessary to further clarify context, but always based codings on manifest content. In Phase Two the coders looked less, if at all, at the goal statement and increasingly used only the impact statement. This was largely a result of the agreement to code manifest, rather than latent content. If the protocol was too vague to code, it was eliminated. For example, the response "Better Team" was difficult to code, even though team is manifest; it was eliminated. Understanding the impact of the protocol was sometimes difficult. This statement was not coded given the lack of ability to understand if the respondent is talking about him or herself, or another person (names have been altered from original protocol):

> Ted has participated to a greater degree in recent meetings. It was clear that additional people were needed to provide appropriate support and Jan is a great hire. On a side note, I have heard that Ted's manager is working on training for the entire department to increase the overall skill level.

The raters continued to meet and discuss the emergent themes, taking notes which were combined by the researcher to begin the taxonomy. Each coder worked with the emerging taxonomy individually, coding statements using the existing codes if possible. If no existing code captured the idea of a protocol, notes were made to be discussed at the next meeting and incorporate it somewhere in the taxonomy. During the process of training to taxonomy, each coder worked individually and as a team, surveying and coding 142 protocols. Training to taxonomy ended when the protocols could be coded within the existing codebook and no new themes emerged from the data pieces. This indicated saturation (Holloway, 2004). The training period also provided a process by which interrater agreement could reach an acceptable score before moving into Phase Two.

As the code book grew robust, there was a need to group similar codes together. The team discussed how some themes referred to an internal realm of the participant—an inner experience, a thought or feeling—while other themes referred to actions and behaviors in an observable realm. There were comments about one's self, about relationships, about teams and groups, and about the organization. An organizing principle emerged, with coder agreement, to cluster themes on the realm of impact reported, rendering four domains of increasing inclusion of others: individual, interpersonal, team, and organization. Each of these domains presented both interior and exterior oriented comments. The resulting field of combinations yields a framework used for coding in Phase Two (Table 3.1) allowing interrater agreement to be calculated.

The emergent data driven codes surfaced eight domains of impact thus addressing the research question about the participant's experience of personal or organizational impact. To address the research question about development, emergent codes during Phase One suggested directions for Phase Two. Some responses reflected a shifting world view. There were new practices of engaging with others and their perspectives. Since the sensitizing concepts about development included these ideas, the coders agreed to add three more codes to assess potential development indicators within each protocol: 1) newly valuing or practicing increased relationship (R) with others, 2) increased openness to or inclusion (I) of others' perspectives and/or views, 3) report of increased ability to address tasks factoring in greater complexity (C). These three codes (R, I, and C) were added to the emergent taxonomy in addition to the eight domains of clustered codes. Each protocol was coded within the eight domains and considered for R, I, or C codes suggesting evidence of vertical development. Only those which met strict protocol criteria were coded for suggestion of development. An example of impact statements and coding sheet is found in Table 3.1.

Table 3.1

Example of Impact Statements and Coding Sheet Including the Eight Domains and RIC Development Column.

	Individual		Interpersonal		Team		Organization		Development
Impact Statement	Int	Ext	Int	Ext	Int	Ext	Int	Ext	RIC
Personal impact: I have enhanced my contribution and credibility within each of the strategic alliance teams in which I work with colleagues. Very satisfying. Organisational impact: specific to each of those strategic alliances - mainly influencing my company's approach and position, with tangible results.	LS L ME	LS L ME			LS L ME			LS L ME	
Give colleagues the idea they are listened to and not just for the sake of listening but also that something is done with their input. This is confirmed by various colleagues. In times of stress/pressure I should focus on this even more and take time for the important things.	LS L ME	LS L ME		LS L ME	LS L ME				
The effect is great: My team is more and more becoming self sufficient, without me having to hold their hand - I do not have to worry to do most of the things myself. This enables me now to spend more time on strategic matters and my own growth within the company since a lot of the day-to-day work can be securely delegated to my team members.	L LS	LS L ME		ME	LS	LS L			
I definitely have accomplished to listen better and be patient when verb ally communicating with others. I have noticed that people, especially my boss, don't get frustrated when interacting with me. Communications are less conflictive and flow more freely. This has benefited me and my organization greatly. My team meetings are more productive. I am very proud of myself.	ME L LS	L LS	ME LS	ME L LS		ME L LS		LS	RME, RLS

Phase Two: Confirmatory Analysis. In this phase, the code book (or taxonomy) was utilized by the coders and applied to 290 more protocols. This confirmed that the classification schema described those protocols and nothing new needed to be added to the taxonomy. A modification of themes would have been required if any units of coding could not be placed within a code or theme in the taxonomy. Interrater agreement was calculated by overlapping protocols and checking for drift in each of three batches of coding. Thus, each of Boyatzis' (1998) five steps for thematic analysis was included in this study.

Phase Three: Frequency Counts and Demographic Data. Phase Three generated frequency counts demonstrating how often each of the eight domains of the taxonomy was coded. It also captured in quantitative form, the frequency of protocols with suggested evidence of development. These data informed the decisions of which demographic, psychometric, and multi-rater evaluation data was to be gathered from the CCL ADM in general.

The demographic data were compiled to describe those whose impact statements informed the study in general. Age, gender, race, last degree earned, sector of organization, organization level, number of employees, compensation, and level of experience were reported.

Since evidence of vertical development was found in some codes and not in others, select demographics of these participants were compared with the rest of the protocols which were not coded for development. The choice of which demographics to compare between these two groups was informed by theoretical grounding in development literature. It was undertaken to understand any predictor variables that

might describe being in one group instead of the other. The seven variables chosen with the emergent hypotheses follow.

Emergent Hypotheses

Given the emergent realms of impact, and informed by developmental theories, seven variables were chosen as independent variables, or *predictor variables* (Tabachnick & Fidell, 2001): age, gender, organization level, FIRO-B expressed inclusion score, CPI Empathy score, and two Benchmarks 360 feedback scales. These predictor factors were chosen for their hypothesized contribution to development, after considering the emergent RIC development code data. The research strategy to include demographic, psychometric, and self-assessment data was intentional; there were multiple sources of data included in this linear regression.

The seven independent variables, or *predictor variables*, were chosen for hypothetical contribution to inclusion in the RIC codings. The demographic predictor variables were *age*, *organization level,* and *gender.* If development is thought of as a lifelong process, then age might be a factor in development. The more time one has had to develop, the more it may have been done. *Hypothesis 1: With increased age, there is a greater likelihood of being coded in the RIC development group.*

Likewise, higher positions in the organization may reflect more time invested in advancing one's career or more strategic, complex, or systemic perspectives. *Hypothesis 2: Those at higher organizational levels (Top/Executive) are more likely than those at middle levels (Upper-Middle/Middle) to be coded in the RIC development group.*

If women are more intentional about, or invest more time in relationships (Fletcher, 1999), then gender might be a predictor variable. *Hypothesis 3: Women are more likely than men to be coded in the RIC development group.*

Psychometric predictor variables—*Expressed Inclusion* and *Empathy*—were chosen with Relation (R) and Inclusion (I) in mind. The Fundamental Interpersonal Relations Orientation-Behavior (FIRO-B) (Schutz, 1958) is a self assessment which assesses, in its *Expressed Inclusion* scale, how much time and energy one invests in acting in ways that encourage participation or the degree to which a person associates with others, or moves toward people" (Ryan, 1989). The behavior of more frequent displays with numerous people was hypothesized to contribute to being included in the RIC codes. *Hypothesis 4: Higher Expressed Inclusion scores on the FIRO-B will be more likely than lower scores on Expressed Inclusion to be coded in the RIC development group.*

The California Psychological Inventory 260 (CPI) (Gough & Bradley, 2005), another self-assessment, employs the *Empathy* scale "to identify people with a talent for understanding how others feel and think, and who display warmth and tactfulness in their dealings with others" (p.6). A person whose focus is on warmth and tact in dealing with others, with some understanding of how they think and feel, was hypothesized to be a predictor of having a RIC development code. Empathy was considered as a predictor to demonstrating openness to another's perspective. *Hypothesis 5: Higher Empathy scores on the CPI are more likely than lower Empathy scores to be coded in the RIC development group.*

The final two predictor variables chosen included two self-report scores on the BENCHMARKS 360 (CCL, 2001) multi-rater assessment tool. Given that all other data were self-reported, and a 1st person perspective, the decision was made to exclude the ratings of boss, direct reports, or peers. One scale assesses if a person "*recognizes that every decision has conflicting interests and constituencies."* Hypothetically, one who recognizes interests and constituencies might seek out others' perspectives and report that in the protocol. *Hypothesis 6: Those who score higher on the scale of* "Recognizes that every decision has conflicting interests and constituencies" *are more likely than those who score lower to be coded in the RIC development group.*

The second measure is a BENCHMARKS derailment factor and assesses if a person "*is overwhelmed by complex tasks."* The researcher's focus on dealing with complexity as an important part of leadership development led to choosing this predictor variable. Without the ability to deal with complexity, many of leadership's challenges could go unaddressed. *Hypothesis 7: Those who score lower on the* "Is overwhelmed by complex tasks" *scale are more likely to be coded in the RIC development group.*

Scores for each of the continuous variables (age, FIRO-B Expressed Inclusion, CPI Empathy, and Benchmarks 360) were converted to a z, or *standardized score*, which has a mean of 0 and a standard deviation of 1. This was done to insure all variables were on the same metric (Tabachnick & Fidell, 2001) and that the effect sizes could be interpreted more easily. Because the continuous variables were standardized, their regression coefficients will be standardized as well.

The outcomes from all coding activity yielded protocol codes in eight domains, as well as some protocols coded for evidence of vertical development. Since there were only

two outcomes for the vertical development codings—either the protocol included the RIC development coding, or it did not—this became the outcome variable, the *dependent variable* to calculate predictive validity. Binary logistic regression was used to calculate predictive validity given the dichotomous outcomes (comparing the development protocols with non-development protocols), as well as the mixture of continuous and dichotomous predictor variables (Tabachnick & Fidell, 2001).

Sources: Study Participants

The purposive sample for this study was comprised of self-selected individuals who met three criteria: they have enrolled at CCL in the public LDP, they provided online updates within the system; and they reported achieving a goal. Those who did not update were not included. Only those who, during the updates, indicated completion of a goal were invited to answer the impact question. There was attrition from the self-selected group of LDP participants as some did not follow-through on the updates and therefore never marked a goal as completed. The study included 248 people (after eliminating incomplete or duplicate data) who completed the LDP classroom, marked a goal as completed, and answered the online update question. The responses represented only a subset of the participants; not all participants updated online, and not all achieved their goal. This limits the transferability, but addresses directly the experience of those who reported not only significant progress, but actually indicated that the goal was completed.

The participants were drawn from the LDP enrollments. They were predominantly Caucasian male with Bachelor or Masters Degrees. Most were in Upper-Middle to Middle-level management with approximately ten years of experience leading

others. Most were from the Business Sector, however the Private Sector and Public Sector were also represented. They attended public programs between April 2005 and September 2008 (as shown in Table 3.2) across all campuses of CCL, but predominantly at the U.S. campuses.

Table 3.2

Total Users of CCL Friday5s Online Follow-Through

Year	Participants
2005	2206
2006	2658
2007	2943
2008	2893
Total	10700

The source of the response data for Phase One and Phase Two was the CCL data archive's ADM- Goal View. The demographic data for Phase Three was taken from the ADM demographic database; the frequency counts for Phase Three were generated from the conceptual analysis of Phase One and Two.

Level of Analysis

Although the data for this study addressed the perception of impact, these were generated by the individual and therefore represent a 1st-person participant's perspective. The *level of analysis was the individual*. The biographical, demographic, and psychometric data were generated by the individual before attending the LDP classroom. The 360 assessment data were generated by the individual *and* the observers chosen by

the individual to assess the performance from a 2nd person perspective; this study only utilized the self report of the assessment data. The online follow-though data was generated over a period of ten weeks after the classroom and was a subjective, 1st person construct about personal and organizational impact. This study did not include 2nd person data, or collective data from the organization, such as shareholder value, margins or profit since the study investigated the 1st person experience. The coders and raters observed the responses as 3rd parties.

Limitations and Delimitations of the Study

Issues of generalizability were a concern. The participants in this research were drawn from a set of individuals who attended the CCL LDP. Of those who attended, some used the online follow-through platform to update their progress on the goals; of those who updated only some completed their goal. This purposeful sample represented the select group of participants who attended the program, set a goal, updated using the follow-through system, completed a goal, and answered the impact question. It may not be transferable to the general population of all CCL LDP participants, or even the general population. It might be transferable to those who go through a leader or leadership development initiative, utilize a post-classroom follow-through support mechanism, and complete a goal.

Although there is much literature about transfer of learning, transfer of training, and application of learning, this discussion focused on development. Given that vertical development is reported to take longer than horizontal development, and that its levels are complex to assess, this study did not seek to identify stages, but searched for evidence of development captured within the protocols.

There may be valuable experiences of those who completed the goal yet did not utilize the online follow-through system. These insights were not available to this research.

All responses were posted by participants to an online follow-through platform. Responses may have been subject to time constraints, preconceived ideas about the value of online posting, or paradigms about the impersonal nature of technology (Santana, 2006) as compared to direct conversations to report impact.

There may also have been developmental shifts for those who did not mark a goal as complete and therefore did not field the question about impact. These observations were not included in this research. The goals represented a range in complexity; there may be more development in complex goals that were not completed than the less difficult ones that were. The ten-week, post-classroom online postings limit the researcher's view of what development happens over a greater span of time. Accounts of development, given the ten-week follow-through period, only covered shifts during the ten weeks and did not include perceptions of further development over time.

The participants represented a subset of those leaders who have chosen to attend the CCL program at one of the five campuses where it is a public offering. The participants did not represent those who participate in initiatives along with their intact work teams or organizations (customized programs for one organization, for example).

The findings of the proposed study did not delineate the cultural or geographical difference that might exist between the CCL campuses: few differences were noted initially between campuses in regards to goal category, completion, or utilization rates (Santana, 2006). Also, 94% of respondents have attended a U.S. program.

Given my position as a facilitator of LDP for over 20 years, as a proponent of engaging participants with a follow-through structure, and a team member who piloted and launched the online follow-through architecture, my views might be biased towards noting development. The three-person coding committee—including two coders unfamiliar with LDP—seeking inter-rater agreement was a measure towards objectivity. That being said, however, it may not be possible to entirely remove my lens while coding data. I have relied on the collective coding process to address this potential rater-bias limitation.

The researcher's level of development may impact what patterns or themes are visible during coding. At lower development stages a coder might not notice more subtle or complex sense-making patterns. If a participant were at a higher stage of development than a person doing coding, the information may have gone undetected. Coding partners' stage of development may also impact the findings. Extra care has been taken in the selection of coding partners, searching for ability to make meaning out of complexity, and to identify developmental themes at higher orders.

Positioning and Assumptions

My assumptions were a result of 20 years as a practitioner in the field of facilitating this leadership development initiative across countries. As a reflective practitioner, and as a proponent of sustaining development beyond the classroom, my academic (adult developmental, constructive-developmental), professional (that the initiatives can lead to development of leaders), and personal assumptions (that learning about the post-classroom movement/development will help design initiatives that serve

leaders well in their search for accelerated development) drove this work. For the purpose of this study I assume that:

- leaders can develop.
- these participants will lead self and others after the program.
- the goals that were set on the last day of this program were considered by the individual participant—after working one-on-one with a coach—to be the next step in his or her development as a leader. Therefore, from the participant's perspective, these goals represent developmental movement. From a constructivist lens, the research will assume it to be true from this participant's sense-making capacity without imposing absolutist measures to verify.
- if the participant considered this development goal completed, and indicated such on the online follow-through portal, it can be assumed there has been some movement in a developmental direction.
- the responses represent the truth, according to the participant's subjective analysis of the situation and the impact.
- the participants are able and qualified to represent their experience with written responses posted to the online platform.
- participants were willing to share their experience with the research by posting in the online follow-through system, by responding to the impact questions, and by accepting the policy of CCL before attending the initiative.
- assessment of development stages may or may not be accessible from the comments, although evidence suggesting vertical development has been noted.

Ethical Considerations

At registration all CCL participants were guaranteed confidentiality—no individual data were shared with their organizations. As a CCL faculty, I was authorized by CCL to utilize the archival database. This research removed identifying marks of participant name and company from the existing CCL data. All data compilation used a unique participant event code to identify the impact responses with the demographic data of the participant.

While there were advantages to such a large collection of leaders gathered for the express purpose of development, there were ethical considerations for embarking on research within my own organization. If the findings suggested that the leadership initiative is not developing leaders or leadership, then I would find my continued facilitation and endorsement of the program a challenge to my professional ethics if nothing changed as a result of my findings. Political considerations existed for sharing the findings of the research within the organization, especially if the experience of impact was minimal. I considered existing research initiatives and understand that this project did not duplicate initiatives or access participants post-classroom that were currently participating in other research. I believed the potential to contribute to leader and leadership development, though—in program facilitation, program design, setting program expectations, and supporting participants' development post-classroom—warranted undertaking the research; careful consideration was given to managing the outcomes.

Although the literature emphasized and this researcher recognized the role of the organizational context for leadership development, this study was a first-person,

subjective account of personal and organizational impact with frequency counts. There were no organizational measures of individual or organizational effectiveness, performance, or productivity to corroborate the individual's reports of impact. The impact as perceived by others was beyond the scope of this study, as was a discussion of return-on-investment (what the benefit to the organization is from the investment in the LDP). Leadership development, then, although impacting the collective, was believed to be present if the participant noted its impact, even without corroboration from the collective.

CCL utilizes a retrospective (now-before ratings side by side) 360 assessment after three months to measure behavioral change noted and rated by observers of LDP participants in their workplace. Even though the behavioral change noted by others is usually positive (McCauley & Van Velsor, 2004), change in behavior observed by others may or may not represent development, and was therefore not included in this research. (Note: of the 248 participants representing the 703 responses, only 18 of these assessments were completed and therefore not designed into this research.)

As discussed, multiple factors (readiness, traits, motivation, organizational climate, career stage, or ability to learn) can impact development; therefore the program was not believed to be the only cause for development. This study does not causally link LDP to development as the decisive factor—there are many.

Since CCL guarantees confidentiality to each LDP participant upon enrollment, the utmost care was taken to remove any identifying characteristics from the response data and during the compilation of demographic data.

The findings of this research will be shared with CCL since the benefit—potentially making a contribution to the field of inquiry about leader development and/or leadership development—outweighs the risk of delivering controversial findings. The spirit of continual learning exists within the design community at CCL, and my hope is that any findings, whether negative or positive, could inform the conversation about designing for development of leaders and leadership.

I believe that CCL, and I as a facilitator of the program, have an ethical obligation to bring a robust understanding of adult development into the design and facilitation of the LDP, including the post-classroom phase. The program is a serious investment of resources: time, money, and energy. Our participants merit informed design; our continued presence in the marketplace also depends on informed design and excellence in facilitation. My own facilitation of this program, over 20 years, has evolved since my intent is to provide value for investment to each client/participant. This evolution continues to be informed by these findings.

The right conduct of the inquirer and the inquiry process in general—the moral criteria (Kenny, 2006)—was addressed by methodology, the process, and the ethical considerations mentioned above.

Chapter Four: Findings

The purpose of this research was: 1) to investigate if development occurred in the 12 weeks of CCL's LDP; 2) if so, what kind of development?; and 3) what was the participant's experience of any personal or organizational impact?

Qualitative Findings

Phase One

To address the question of personal or organizational impact, the thematic coding process was undertaken in Phase One. During Phase One the code book quickly became populated (Appendix E contains Code Book for 81 codes with inclusion and exclusion criteria) and a quick taxonomy was created as a one-page reference for ease of coding the 81 codes. The 81 codes clustered into eight domains yielding the domains represented in Table 4.1.

Table 4.1

Taxonomy of the Eight Domains of Personal or Organizational Impact

Individual Realm One person *1A: More Interior*	**Interpersonal Realm** Between a dyad, maybe more than two but no mention of terms: group, team, division *2A:More Interior*	**Group/team/division/ Staff** Specific referral to these terms: otherwise, interpersonal realm *3A:More interior*	**Organization/Company /System:** mention by name, more than one team otherwise team *4A: More Interior*
1. Enhanced Self Awareness 2. Clarity of Self-Concept/Identity 3. Self-Care 4. Agency/ Self-Confidence 5. Clarity of developmental path forward *6. Enhanced Emotional State/subjective space* 7. Balance/Boundaries 8. Seeing from outside one's self 9. Shift in Perspective/ View of Life/Worldview 10. Self Monitoring for Behavior Changes 11. Seeing New Connections/ Lenses of Causality "Measure, Measure, Feel It"/ "Quan, Quan, Qual" 12. Strategic Focus 13. New Knowledge 14. Perception Change	1. More Focus on Others 2. Sense of Relationship 3. Others' Perceptions Change 4. Increased Relational Complexity	1. Higher Morale 2. Better Trust 3. Establish Credibility 4. Increased Confidence of Team Members 5. Team Cohesion 6. Build/Improve Relationships with Positive Outcomes 7. More + Approach to Issues within the Dept/Team 8. Atmosphere of Team 9. Understanding Relational Complexity 10. Mutual Influencing/Interaction of our Inter-Subjective Realm	1. Stronger Rapport Between Teams 2. Shift in Sense of System 3. Establish Credibility and Trust with Each Other in Org. 4. Perception Change within Organization 5. Better Sense of Organizational Alignment
1B More Exterior:	***2B More Exterior:***	***3B More Exterior:***	***4B More Exterior:***
1. Self-Care 2. Self-Correction/Behavior Choice for Impact 3. Working towards Mastery 4. Authenticity/Alignment 5. Self-disclosure 6. Redistribution of Time/Energy 7. Manifesting New Possibilities 8. Individual Productivity 9. Career development 10. Empowering Others 11. Delegation of reports/ projects 12. Action Completed 13. Skills-based Improvement 14. Expressing opinion, viewpoint/communicati	1. Create/Build Relationships 2. Involving Others 3. Developing/Coaching Others 4. New Behavior in Service of Others/Change Benefitting Others 5. External Validation of Progress/Change 6. Impact Other's Experience 7. Impact Other's Behavior 8. Empowering Others 9. Delegation 10. Forward Plans 11. Listening 12. Encouraging Others 13. Communication	1. Team Communication 2. Improved Team Performance/ Productivity/Progress 3. Quality of Contribution to Team 4. Build Team Strength by Communication, Feedback, SBI's 5. Actions + Influence Inter-Subjective Relational Space 6. Building Team Intelligence 7. Alignment of Team/Group 8. Developing New Team Capacities 9. Support Team 10. Collaborate/ Share Knowledge, Practice 11. Increased Thought	1. Building bridges between teams in system with + impact 2. Impacting Structure of System 3. Alignment of Organization Action 4. New Networks, Collaborations or Social Webs 5. Succession Planning 6. Influence Organization Performance/ Results 7. Created Product/ Process/ Service

on		**Generation** **12. Searching for More Business Opportunity** **13. Empowering a Team** **14. Start a Team**	**for use by organization**

The code book included vast categories. There were indicators and exclusions for many codes in the code book. For example, the code *New Behaviors in Service of Others, Change Benefitting Others* was described as: being a guide to others, serving to orient others. Its indicators were: "I modify my behavior so you can be comfortable or we can be effective." Exclusions mentioned were doing more of the same without consciousness. *Empowering Others, Shifting Power from I to You*; *report of others growing or being empowered*, is another code. Its indicators were others taking action with a sense of being empowered, or recognizing that being empowered is a desired outcome of the activity undertaken. The simple mention of someone else doing a job, which might or might not be empowering, is exclusion criteria. The coders strictly utilized manifest content and made no assumptions about implicit meaning. The complete Code Book is found in Appendix E.

How the Codes Were Clustered: The Eight Domains. Given the complexity of coding to 81 codes, the coders discussed how to cluster the many codes under themes that emerged. Certain protocols commented about behaviors that were demonstrated in an external manner (*Exterior*), and others referred to inner qualities or inner experiences *(Interior*). The *Interior* and *Exterior* clusters emerged.

Interior referred to the experience within one's self, or one's relationship; or the sense the members reported about being a member of the team or organization. How one

thinks or feels about one's experience, or makes sense of the experience of being an individual, or a member, were included in the *Interior* realm. *Exterior* referred to behaviors, structures, or observable evidence of what an individual, duo, team, or organization reportedly did. It represented the manifest, or outer indication that others could experience. Beyond behavior, it referred to systems of shared information, protocols of communication, reward practices, and policies. The *Exterior* domain reported on things observable.

The impact responses sometimes mentioned a relationship with someone, or a team. Other times, participants referred to working outside of his or her own team, linking teams, or impact at an organizational level. Equally, there were comments about one's own behavior, or one's awareness of choosing behaviors differently. Upon reflection, coders decided that clusters of increasing participation could serve as an organizing principle: *Individual, Interpersonal, Team, and Organization.*

The *Individual* domain was delineated as one person; the *Interpersonal* domain referred to a dyad or maybe more than two if there was no mention of the terms "group," "division," or "team." Only if there was specific mention of these terms "group," "team," "division," or "department" could a protocol be coded in the *Team* domain. If the terms were not mentioned, then the protocol code defaulted to interpersonal even though there may have been more than one person. This decision was made in keeping with the agreement for coders to use manifest content without making assumptions that a team was being referred to. A code within the *Organization* domain required specific mention of "organization," "company," or "system." Also mention of more than one team qualified for an *Organization* code, since the boundary was beyond one's own team.

The discussion acknowledged that clusters could have been formed around behaviors, such as giving feedback, or communicating more, and then the domain of impact (*Personal, Interpersonal, Team, Organization*) could have been specified. For example, giving feedback could happen at the *Interpersonal* level, at the *team* level, or at an *Organizational* level. Given the breadth of codes, as well as the sensitizing concept of integral theory and how the domains interact with each other, the decision was made to cluster around domains for an understanding of where impact was occurring and what impact was mentioned.

Each of these four realms of increasing interpersonal involvement could have been referenced in terms of inner experience (*Interior*) or outwardly observable behaviors (*Exterior*). This organizing principle of eight domains of impact allowed the 81 codes to be clustered in terms of where the impact was noted. For example, *Clarity of Self-concept, Self Monitoring for Behavior Changes,* and *Perception Change* were clustered with others in an *Interior* experience of an *Individua*l realm. *Create/build Relationships, Involve Others, Empowering Others, and Delegation* were clustered with those codes describing behavior (*Exterio*r) in an *Interpersonal* realm. *Team Interior* clusters contained codes such *as Higher Morale, Better Trust, Increased Confidence of Team Members,* and *Team Cohesion,* while *Team Exterior* clusters included codes such as: *Build Team strength by Communication or Feedback, Collaborate and Share Knowledge with Team,* and *Alignment of Team Guidelines or Structure*.

The reason that some individual codes did not merit more collective codes is that without mention of impact upon another domain, the manifest coding stipulation could not allow it to be placed in another domain. For example, when the protocol named the

family as a passive recipient “more time for my family” rather than “this has a positive on my kids and my family,” the code defaulted to individual.

For an understanding of where and to whom the impact is reported, the eight clusters offered information. For a deep understanding of what experience was being had, or how the experience was described, the code titles contributed to understanding.

Interior Individual. The *Interior Individual* Realm of impact contained 14 codes focused on: one’s self and one’s interior experience of one’s self, how one thinks about one’s self, or protocols that mention internal states. The emergent themes reported rich experiences of feeling more confident, less stressed, less tired and depressed, satisfaction from getting promotions or recognition, hitting one’s stride, accomplishing goals, and finding greater joy. Here are verbatim from protocols reflecting insight and awareness about the subjective experience—sometimes in combination with other domains of impact:

- I have certainly felt less stressed with my workload and the decisions that need to be made. I think this has also reduced stress levels among my staff (1.32)
- Less stress at home—decision making conversations not dragging on. Comments that I appear more decisive at work. Leading to increased personal confidence which generally makes me feel more positive about and engaged with work tasks (1.37)
- I am happier with my job. It is less stressful. I also believe that my team is happier. It’s definitely been beneficial for everyone (1.52)
- I have had a great response amongst all employees at [organization]. I have more confidence in myself and feel as though I am myself rather than trying to try to be something that I am not. I credit the LDP and [name’s] coaching to help me achieve this goal (1.54)

- I am much calmer and happier, and find my colleagues are drawn toward me rather than pushed away. People are better able to hear my ideas and I think I have helped a few discussions arrive at an improved outcome in a positive manner. A number of people have noticed and complimented me directly or indirectly (1.99)
- …open to engage with others on a more authentic level has provided me with a sense of well being. Although I by nature love to be around others, I found out that when my instincts are in collision with those about me, I shut down and I no longer am able to be a conduit for others nor am I able to be a support to those who are in my life—whether it is at work or outside of work…(2.22)
- A stronger sense of wellbeing and peace. Getting thoughts out of my head and on paper has helped me focus on present thoughts and feeling more confident (3.98)

The *Interior Individual* codes included *Enhanced Self Awareness/Clarity, Clarity of Self-Concept/Identity, Self Care, Self-Confidence,* and *Clarity of Developmental Path Forward* (Table 7 contains complete codes). Some references reported setting internal parameters for self-care with the intention of balance and for monitoring one's self for behavior changes to achieve different outcomes. Internal vigilance, awareness, and mindfulness were well represented. For example, "I have learned to be aware of my directness with people. I have to check myself first to know where I am coming from" (2.78).

Exterior Individual. This domain focused on behaviors, structures, or observable evidence: what was said, done, made manifest. Differentiated from the *Interior* domains, the *Exterior* referred to that which could be seen, measured, or witnessed. For example, if *Boundary Setting for Balance* was an interior domain—the way one reflects on achieving balance—then *Self-Care* protocols address the *behaviors* undertaken with the intent of

caring for one's health, wellbeing, or stress management. Likewise *Self Monitoring for Behavior Change*—in the *Interior Individual*—was the inner monitoring process. *Self Correction/Proactive Choosing of Behaviors for Different Impact*—all *Exterior Individual*—referred to behaviors undertaken intentionally for impact. The change in behavior received more focus than the impact obtained. For example, "have attended senior management team conference call at least once per month" (1.28) referenced an activity done by one individual without reporting the impact on that senior management team. Another example of an action in this domain was: "This was a very personal goal for me. I had always promised myself that I would finish my degree and now I am on the right path to do so" (1.80).

This domain evidenced a plethora of behaviors undertaken by the individual LDP participant, chosen after experiencing assessment for development, receiving much data about one's style, and setting a goal to effect some change. Some sought to proactively adjust their subjective experience, and simultaneously to reconnect with family, friends, direct reports, and others. For example, "I have reduced my stress level, reconnected with family and friends and recognized what is truly important in life" (1.89) focused on personal interaction. The following protocols described professional interaction:

- I have been able to free up additional time for future planning and to pick up additional responsibilities. I now have a second responsibility which was a full time assignment before (1.98)
- Having established regular monthly feedback/coaching sessions has really helped all parties. These sessions always end up being 2 way feedback sessions. While some people were hesitant at first, they very quickly saw the benefit. I have a since taken it a step further and established formal mentoring relationships among my subordinates. I have paired newer people with more

> experienced people to help elevate the new people faster. Again, both parties benefit from it (1.100)

Protocol (1.100) was coded both in the *Interior* and *Exterior Interpersonal* domains, given the impact was not only on the person reporting the new behavior, but also that others are acting differently in relationship with each other: "sessions always end up being 2 way feedback."

Interior Interpersonal. This domain reported the experience of relationships: how one reported thinking of or experiencing the relationship, a shared sense of relationship, or mention of internal states concerning relationships. The emergent data suggested *Perception Change* happening, a sense that one's own or another's perceptions of our relationship had changed. Some protocols cited increased credibility, increased trust, and being viewed differently.

Openness to Others was also reported within this domain. When a protocol mentioned newly found consideration of other's experiences, point of view, or ideas, it was coded *Interior Interpersonal.* For example: "Personally, the attainment of this goal has helped me to see the perspectives of others, whereas before I would ignore those perspectives that differed from my own. Different ways of looking at things are useful to an organization and help contribute to diversity" (3.20).

Increased Relational Complexity code indicated a participant's factoring in greater aspects of an interpersonal or social realm than previously considered, or a participant's focus on interconnected aspects of working together. Reporting on the awareness of others, these codes highlighted success from taking others into account:

- I achieved much better alignment with [name] through regular meetings and seeking to understand his perspective (3.13)

- I've found that with good communication, careful thought and positive encouragement, people can and will adapt to change. Our agency is poised for growth, but realize this is an ongoing effort (3.15)
- My continuous awareness to invest in relationships seems to be there. I feel comfortable engaging with people I do not know well and dare to expose myself (3.17)
- Personally, the attainment of this goal has helped me to see the perspectives of others, whereas before I would ignore those perspectives that differed from my own. Different ways of looking at things are useful to an organization and help contribute to diversity (3.20)

Exterior Interpersonal. The behaviors reported in the *Exterior Interpersonal* realm focused on *Involving Others, Impacting Others, Impacting Other's Experience, Impacting Others' Behavior, Encouraging Others, Coaching/Developing Others, Delegation, Create/Build Relationships, Improved Communication,* and *Listening.* Other activities included *New Behavior in Service of others/Change Benefitting Others, External Validation of Progress,* and *Forward Plans*. These codes were exemplified by reported behaviors such as:

- It has helped me to better understand the issues facing my colleagues and how I can be of greatest help and assistance to them. This has in turn, helped me to be a better, more effective, coach and "leader" (3.35)
- I have had recent visits with my peers and they have seen a change in my attitude and behavior. I continue to meet with them on both a one-on-one and business meeting setting. I have improved my listening skills and have even taken some refresher courses through our company to help hone these skills. I have learned to stop, look, and listen, an old saying, but it has helped me improve my communication skills. I continue to ask for feedback on ways that will help me through both my personal and professional life. It is working. I feel good about the changes (3.63)

- …I discussed with my CEO yesterday. I explained what I have been doing and how each week I notice ways to improve the process and more importantly my subordinates have noticed the change. I reported on being a little frustrated at times because I am not able to get to all tasks because of daily 'ad hoc' stuff that is time consuming but relevant in our business. She said 'well, you are still performing.' I reported yes, but I need to get the other stuff done as planned. We agreed I would work it out, but she too noticed my determination and overall improvement (3.9)

Interior Team. What goes on between individuals on a team or within a group—the intersubjective domain—was coded *Interior Team*. It was the domain of beliefs, values, and morals, and the space teams created for themselves as they interacted with each other: the experience of being a team. It included the *Atmosphere of a Team, Higher Morale, Better Trust, Team Cohesion; More Positive Approach to Issues within the Team, Increased Confidence of Team Members,* and *Mutual Influencing/Interaction of our Inter-subjective Realm.*

The sense of *our selves* is an important facet of the impact in this domain, evidenced in protocols such as:

- I feel closer to my peers, personally and professionally. This has built a more close-knit team (2.90)
- The people on my team feel more valued and appreciated. If you get buy-in in the beginning, the team is more likely to accept and support. Very important learning for us (3.58)
- Created alignment with team and they can be more effective in the work they do (1.45)
- Other peers, direct reports & direct boss had personal and good compliments to me. My image & credit has been totally changed and the direct reports had

given respect to me. Our working relationship is closer and our team is stronger and hence this will benefit the organization (1.35)

- The effect is great: my team is more and more becoming self-sufficient, without me having to hold their hand—I do not have to worry to do most of the things myself. This enables me now to spend more time on strategic matters and my own growth within the company since a lot of the day-to-day work can be securely delegated to my team members (1.18)
- I have been able to get a much better sense of what drives and motivates my team. Additionally, I believe that they are surprised and happy that I am taking a personal interest to meet with each of them and understand how they feel about our organization (3.49)
- The feedback from colleagues and coach indicate a degree of expressed confidence in the team. People do recognize that they are empowered and that my need for inclusion is driven, in part, by my preferences and of course, my role as "conductor…" (1.60)
- Now I can say we have a stronger team to lean on (1.62)
- General feeling from the team of inclusion and support (1.94)
- Organizational: increased motivation and energy around project development work; opportunity for connection outside work builds team cohesion (3. 92)
- Delegating has allowed me time to be more a 'leader' and less of a 'manager-doer.' My staff appear more motivated because of the confidence in them that I have shown (3.89)

Exterior Team. Behaviors of a team, structures utilized by a team, practices of a team were included in this domain. The themes of communication, performance, contributing, and strengthening were found. There were actions *(Exterior*) reported to intentionally influence the team and its morale or sense of empowerment (*Interior*):

- Completing this goal has positively impacted my ability to accept and act on feedback received from my boss and coach. It's great to see the results read through in how the team responds to the new behaviors that I am

working on. I say ‘working on’ because although they are becoming ingrained, they are a departure from my natural way of doing things. One of the behaviors that I modified was having the answer and driving to this vs. letting the team develop the answer—I was able to ‘let go’ and understand that there is more than one ‘right’ answer (3.29)

- My team has become even more empowered in the decision making process (3.44)
- I have had greater involvement with the Board this year because I’ve been able to involve the new one-year term region Board members in the process. The Board has been able to get up to speed quicker and they understand my expectations as well as the needs of the organization (3.94)

Interior Organization. Much as the intersubjective space of teams was discussed (*Interior Teams*), this domain increases the complexity by referring to the organization. These statements bring evidence of impact upon the ways in which people think of their organizations and make sense of the experience and practice they share as they make meaning of the work. Codes such as *Stronger Rapport/Connectedness Between Teams, Establish Credibility and Trust in Organization,* and Better *Sense of Organizational Alignment,* reported important shifts in how the organization thinks about itself:

- Organizational: improving organizational connectedness of front-line associates; furthered associate empowerment/ownership for making us better (1.25)
- I believe my attention on this goal will make me a better person, allows others to get to know me better, and allows for personal interaction between myself and other employees. Since I am in an ‘ivory tower’ position, I think this helps change perceptions and attitudes within the organization (3.101)
- Organizational: increased motivation and energy around project development work; opportunity for connection outside work builds team cohesion (3.92)

- Being more communicative with my employees has allowed us to get to know each other better and show them that I am compassionate and sensitive and just not all work drive. This has created a better work environment for my direct reports that is evident and acknowledged within the organization (1.15)
- Regarding the organization, I believe I am making a positive impact that will give them a more efficient, less conflictual culture (1.101)

Exterior Organization. Like the *Exterior Team* domain, practice and structure were addressed; here, the impact has increased beyond the team and the organization itself was mentioned in the protocol:

- This next week, we will spend a portion of our time at Cabinet reviewing our GANTT project schedule by strategic priority task force, with team leads reporting out to colleagues. This is an opportunity to connect across divisions, reevaluate work flow, and celebrate accomplishments (1.60)
- My personal knowledge of the [name] division has given me better insights into whether or not I wish to join that group in the future. I also have formed relationships that make it much easier to collaborate across functions and divisions (1.42)
- I feel much more confident in my professional life. The organization is getting some ideas that can improve it and help the business (3.47)
- Organizational assessment of internal operations, listing areas of concern for address within the next 6 months (3.66)
- Personal impact: I have enhanced my contribution and credibility within each of the strategic alliance teams in which I work with colleagues. Very satisfying. Organisational impact specific to each of those strategic alliances—mainly influencing my company's approach and position, with tangible results (1.16)
- Now I can say we have—stronger team to lean on. –More free time for me and opportunity to take vacation, which as well will reflection my efficiency hence improving the Company achievements (1.62)

- I have recently been promoted. From this standpoint, my personal impact has given me the opportunity to improve my leadership visibility and respect. The organizational impact has been the ability to bring more people together to reach our goals (1.70)
- The organization benefitted from the completion of my goal by issuing an earnings release to the public that was accurate and informative (1.74)
- Personally, I feel that my relationships have improved. Organizationally, this encourages open and honest communication (1.86)

Interrater agreement (Yaffee, 1998) while training to taxonomy in Phase One was calculated at 88.1% using mean percentage of absolute agreement between each pair of raters. This is well within acceptable range (Yaffee, 1998).

Addressing the Development Issue

To next address the questions, "*is development occurring and if so, what kind of development*," the coders reflected upon the emergent codes that might point to evidence of development. There were protocols that reported application of a new learning, such as a feedback model. This provided a new formula for structuring the content of feedback. If feedback was an existing practice, this would allow *more* feedback to happen using the new formula. This suggested doing more of the same in an additive manner, which provided evidence of horizontal development.

The vast majority of all protocols signaled horizontal development. Vertical development, which requires thinking about or doing things in new ways, represents a shift beyond that included in horizontal development. Horizontal development, being a small stretch, is prevalent in courses; it is easier to do more of the same. Vertical development requires a more significant stretch, since the new information requires a shift in perspective to be accommodated and acted upon. Horizontal development is

important and sometimes is a precursor to vertical development. This study focused on finding evidence of vertical development.

Since many protocols reported on tasks or behaviors, the lens of hierarchical complexity—a behavioral based theory that reports on organizing information for task completion (Commons, 2008)—served as criteria to evaluate if tasks were being done in ways that required different ways of thinking, or that were at a higher order than before. For example, some protocols demonstrated an increased awareness of the complexity of leading others. Many indicated new practices of considering others and their viewpoints, considering the importance of relationship for the first time, or intentionally investing time in the relationship. New ways of undertaking the work of leading seemed, in some cases, to reflect an ability to do previously executed tasks in intentionally new ways; the new ways were intentional in consideration of more information, more people, and often more complexity. An increased ability to do things differently, rather than do more of the same, emerged in some protocols. These indicators addressed sensitizing concepts of vertical development discussed in Chapter Two.

Sensitizing concepts within adult development theory (Commons, 2008; Commons & Richards, 2002; McIntosh, 2007; Palus & Drath, 1995; Volckmann, 2008) offered three new suggestions for evidence of vertical development. Therefore, the coders decided to add *Relation, Inclusion,* and *Complexity* (RIC) to the existing codes to search for evidence of vertical development. *Relation* (R) code indicated an emerging realization, acknowledgement, or mention of relationship's importance in leading and leadership. *Inclusion* (I) code acknowledged an emerging or increasing willingness to consider others' distinct perspectives, approaches, ideas, or viewpoints or changing

policies or practice to include differing viewpoints. *Complexity* (C) code indicated coordinating lower-level subtasks in new or non-random ways to achieve a higher-level activity (Commons, 2008); expanded consciousness; increasing scope of depth of cognitive, emotional, or value intelligences (McIntosh, 2007); increasing ability to take into account additional information and perform more complex tasks. Although the development codes were data driven—coming from the participants' comments—these last three were added to answer the questions about development, and are still data driven, yet informed by sensitizing concepts of vertical development.

Phase Two: Rendering Qualitative Data into Quantitative Data

With the one-page taxonomy and the code book from Phase One, the coders examined 285 more protocols in three stages during Phase Two. Interrater agreement was calculated in each phase of independent and overlapping protocols using mean percentage pairwise agreement (Fleenor, Fleenor, & Grossnickle, 1996) to check for rater drift. This is the percentage of agreement for each set of raters, and an average of these percentages. It remained within acceptable realms at: 88.4%, 85.9% and 92.3%.

The 285 protocols placed within the eight domains yielded 673 codings. In no case was a protocol coded within the same domain more than once. Each protocol could include more than one domain, if different realms were addressed in the same impact statement. In many cases they were (Table 4.2). Therefore, an indication of frequency was calculated by using the number of codes instead of number of protocols. Individual codes represented 49% of codes assigned, while 51% of codes mentioned impact on interpersonal, team, and organization (Figure 4.1). Table 4.2 shows the frequency of

codes across all domains, including interior and exterior dimensions for a more detailed view of codes.

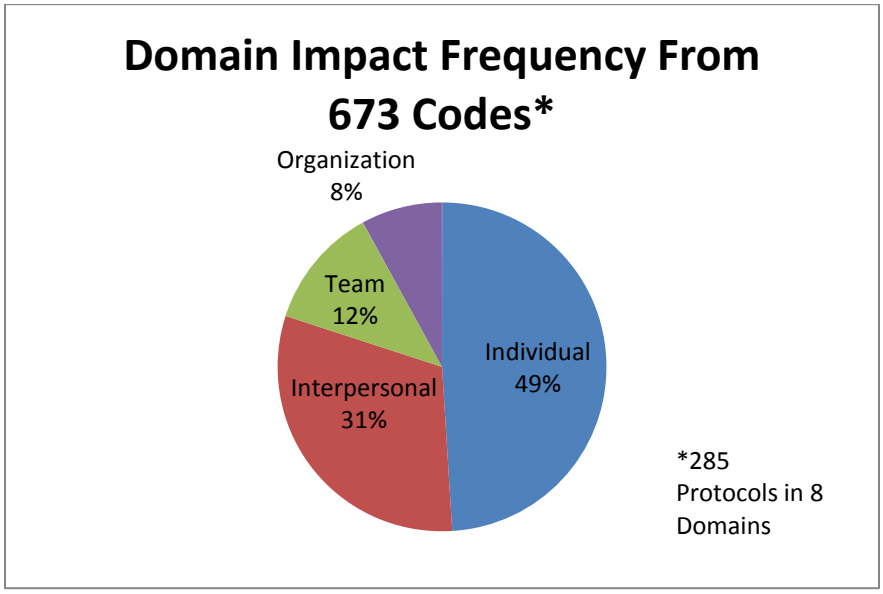

Figure 4.1. Domain impact frequency from 673 codes in four domains.

Table 4.2

Frequency of Codes Within Each of the Eight Domains

	Individual	Interpersonal	Team	Org/System	Total	% Codings	
Interior	145	57	33	13	248	36.8%	Interior
Exterior	188	151	48	38	425	63.2%	Exterior
Total	333	208	81	51	673		
%	49%	31%	12%	8%			

***Individual** =one person
Interpersonal =between a dyad maybe more than 2, but no mention of the terms "group" "team" or "division" etc.
Group, Team, Division, Staff = specific referrals to these terms, otherwise, interpersonal realm
Organization, System = specific mention of organization, or mention of more than one team, mention of
Interior=experience within one's self, relationship, team, or organization (how we think or feel about ourselves)
Exterior=behaviors, structures, or observable evidence (what I/we do, make, externalize)

Each protocol that earned an individual code (regardless of *Interior* or *Exterior*) was catalogued in one of three possibilities:1) *Individual* domain code combined with other domain code(s); 2) *Individual* code with mention of other, but not earning

Interpersonal code; or 3) *Individual* code with no other domain coded and no mention of other (Figure 4.2).

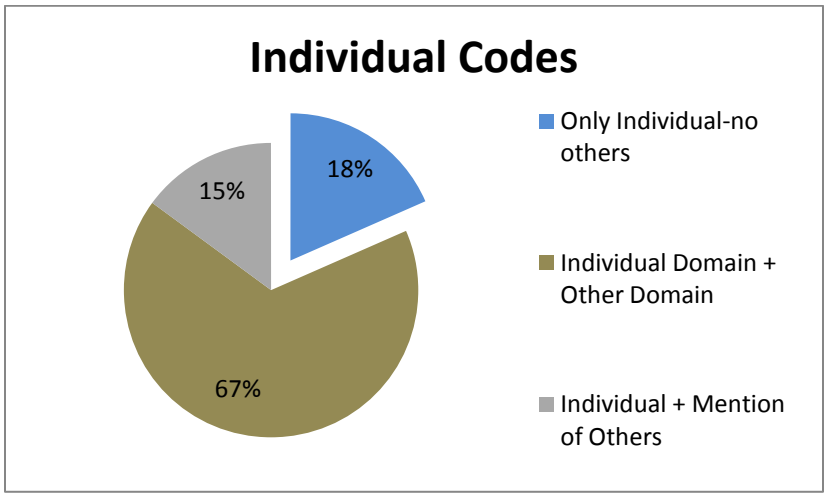

Figure 4.2. Categories within *Individual* codes.

To differentiate the codes which were only *Individual* with no mention of others, from others within the *Individual* domains, *Interpersonal* domains, *Team* domains, and *Organization* domains, Figure 4.3 illustrates that only 8% of all protocols contain no mention of impact on others.

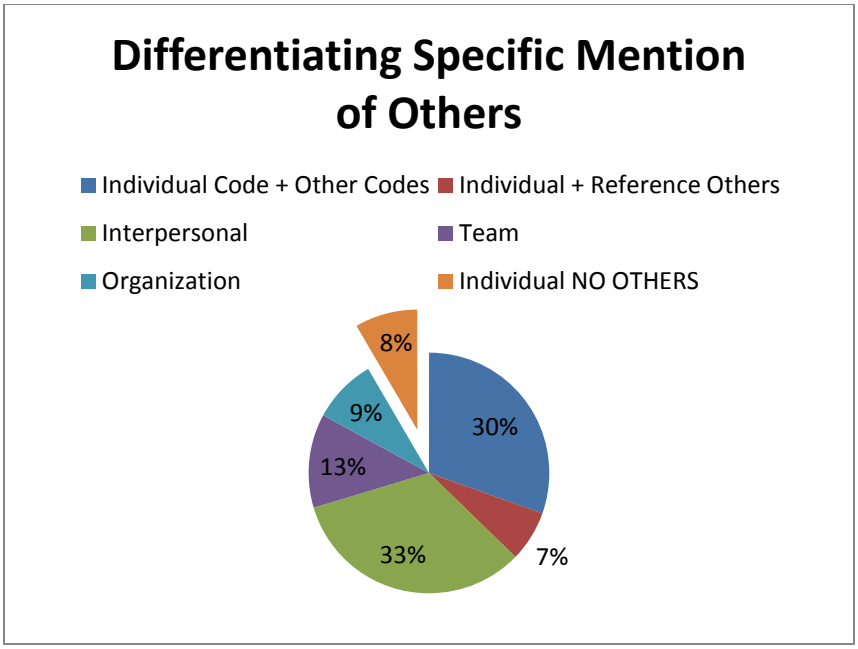

Figure 4.3. Differentiating mention of others from no mention of others within impact statement.

The development codes (RIC codes) emerged in only 61 of 285 protocols. This represented 21.4% of the protocol sample. Upon examination, no coding for C (Complexity) emerged, and all suggestions of development were distributed between R (*Relation*) and I (*Inclusion*). Increasing complexity may have been contained within the R and I codes, which will be addressed in Chapter 5. Table 4.3 demonstrates the incidence of development codes. Frequency tables were calculated for these RIC development codes.

Table 4.3

Vertical Development Codes Found Within Relation and Inclusion Codes

Relation (R)	% of All Coded	Inclusion (I)	% of all Coded	% of all Coded
48	16.8%	23	8.1%	21.4%
67%		32%*		

*10 overlap and are coded for both (R) and (I)

The representation of the eight domains within the RIC codes is shown in Tables 4.4 and 4.5.

Table 4.4

Domain Code Frequency for Relation (R)

	Relation (R)									
	Individual		Interpersonal		Team/Group		Org/System		Total	%
Interior	30	20%	25	16%	5	3%	4	3%	64	42%
Exterior	26	17%	34	22%	16	11%	12	8%	88	58%
Total/%	56	37%	59	39%	21	14%	16	11%	152	

Table 4.5

Domain Code Frequency for Inclusion (I)

	Inclusion									
	Individual		Interpersonal		Team/Group		Org/System		Total	%
Interior	14	19%	11	15%	2	3%	1	1%	28	39%
Exterior	13	18%	20	28%	3	4%	8	11%	44	61%
Total/%	27	38%	31	43%	5	7%	9	13%	72	

Phase Three calculated descriptive statistics from the demographics of all participants with protocols represented in the study. Given that only 21.4% of protocols qualified with evidence of vertical development, Phase Three also drew specific data from the small sample of participants with comments suggesting development (RIC codes), in order to compare it to the larger sample of protocols.

Quantitative Findings

Phase Three: Descriptive Statistics of the Sample

After removing redundant impact statements, sorting for complete biographical, psychometric, and multi-rater information, the sample size was reduced from 290 to 248 people. The range of ages was between 25 and 59 with a mean of 43; 30.6% were female, and 69.4% were male (Figure 4.4). Race was predominantly Caucasian (72%), (Figure 4.5). Last degree earned of the population included 41% with a Bachelor degree, 38% with a Master's degree, 9% with a Doctorate, 5% with High School diploma, 4% with Associate Degree, and 2% with Professional degree (Figure 4.6).

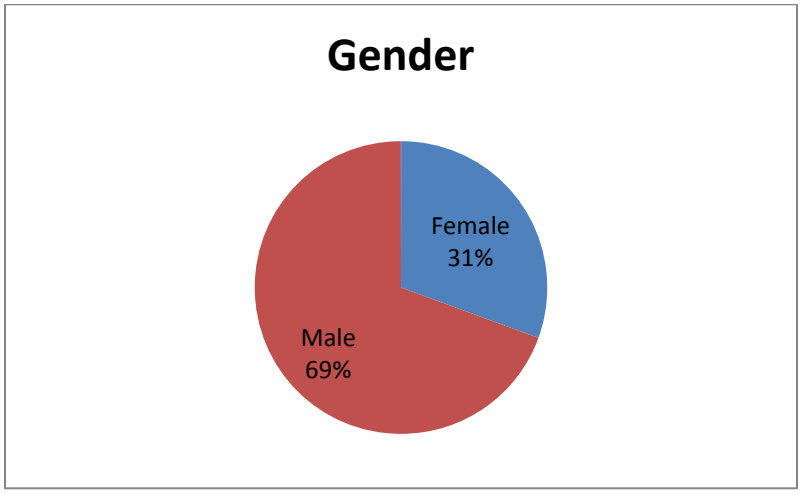

Figure 4.4. Gender of participants.

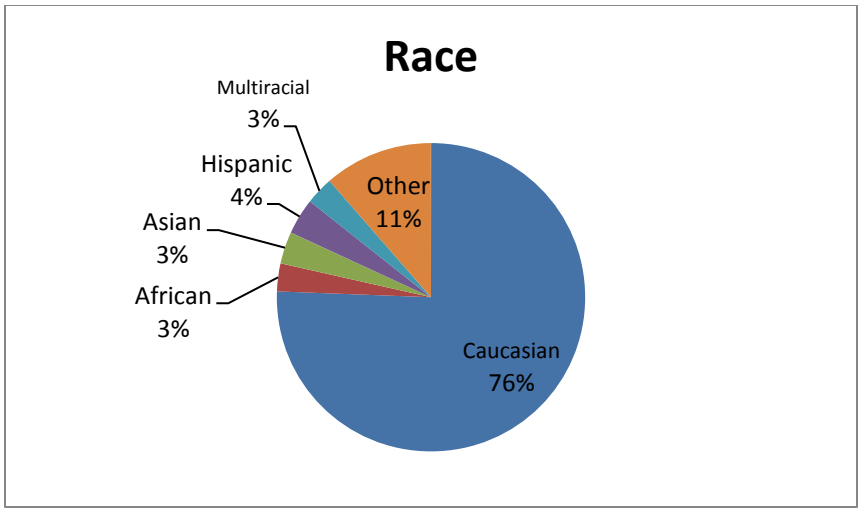

Figure 4.5. Race of participants.

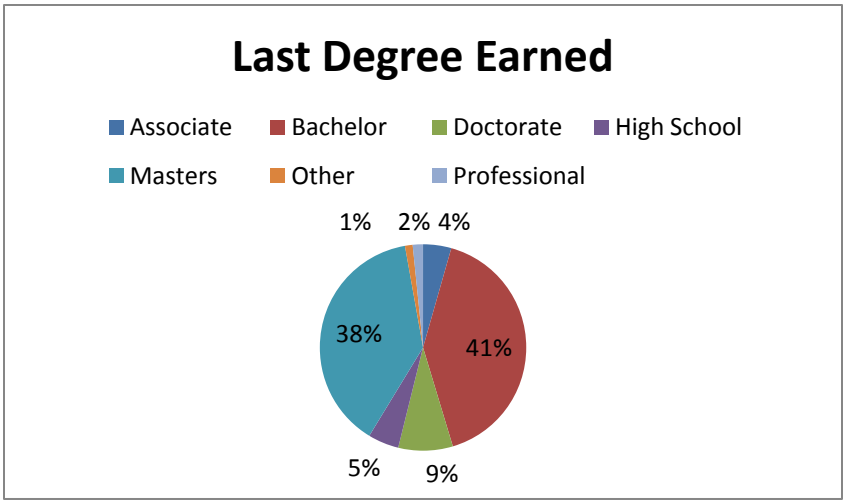

Figure 4.6. Participant's last degree earned.

Although Non-Profit and Government organizations are represented in the sample, most participants work within the Business sector, including For-Profit and Commercial organizations (Figure 4.7), and are divided between Upper Middle, Middle and Executive positions in their organization (Figure 4.8). The number of employees ranged from 10 – 10,000 or more (Figure 4.9) with the largest group receiving compensation between $125,000 and $199,999, and most considered themselves

moderately experienced (all Tables are included in Appendix B).

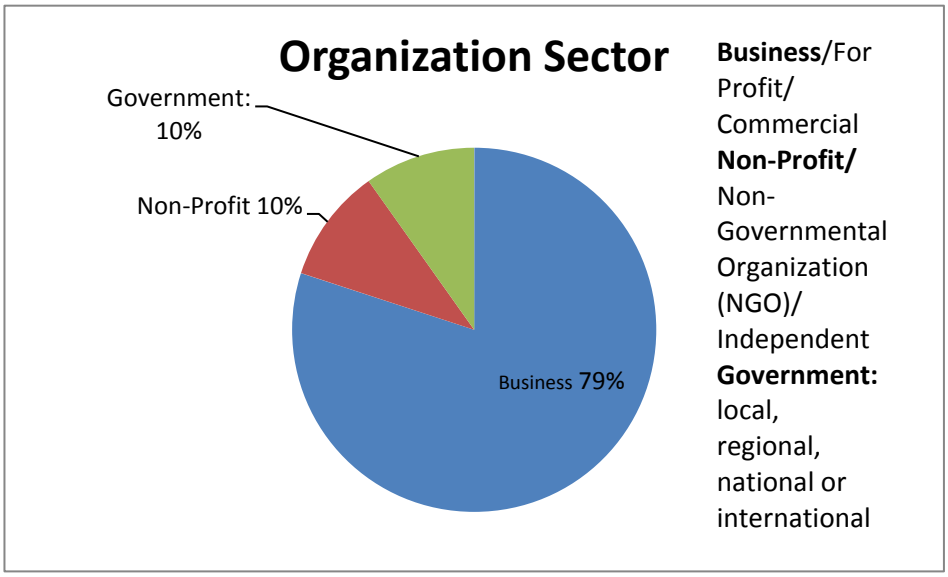

Figure 4.7. Sector of participants.

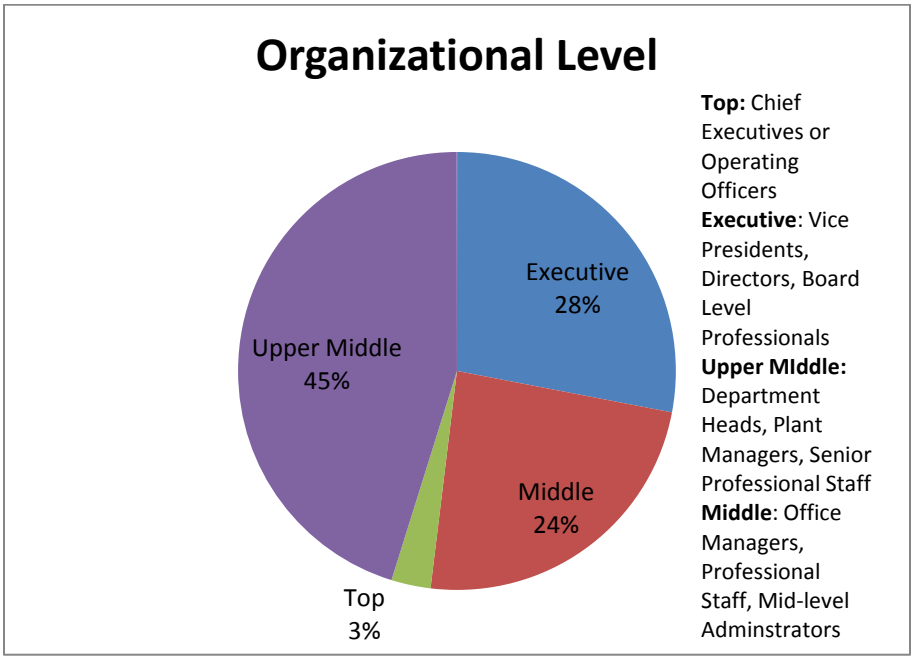

Figure 4.8. *Organizational level of participants.*

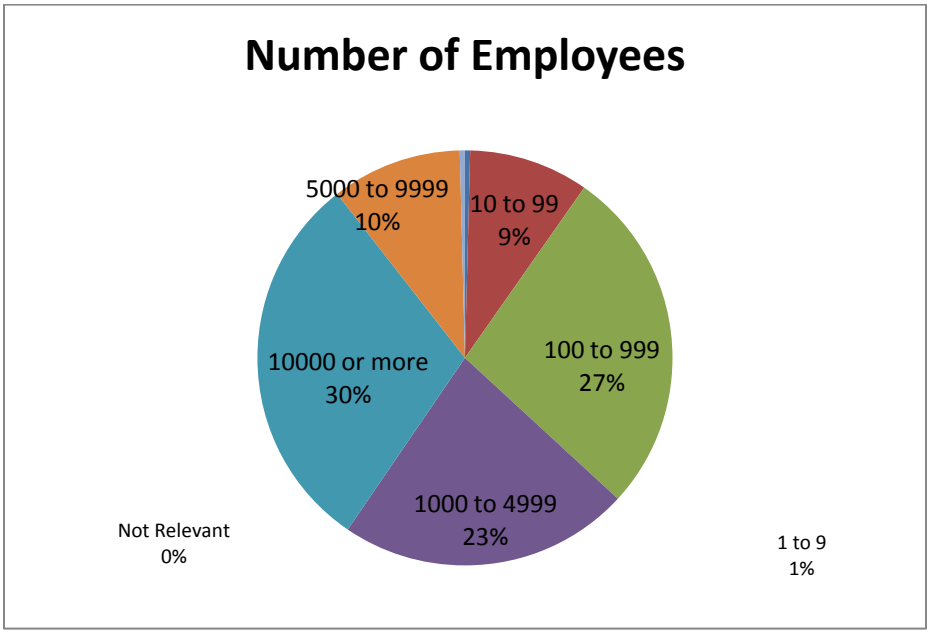

Figure 4.9. Number of employees within the participant's organization.

Strategic Post Hoc Analysis

Given the research questions *did development occur and if so, what kind of development*, and the emerging data from Phases One and Two, a research design decision was made to use inferential statistics in Phase Three to investigate seven variables that might help explain one's membership in the vertical development group; the vertical development group consisted of those protocols receiving a RIC coding. This decision was taken to understand, beyond demographic variables, what other factors might predict being in one group over another group. Multiple sources of data—demographic, psychometric, self-ratings on 360-degree feedback instrument—added depth to the analysis, as described in Chapter Three.

These were the seven independent variables. The descriptive statistics for the predictor variables are shown in Table 4.6.

Table 4.6

Descriptive Statistics for Predictor Variables

Descriptive Statistics

	N	Minimum	Maximum	Mean	Std. Deviation
Age of Participant	242	25.00	59.00	43.0826	6.97010
CPI Empathy	248	37.49	75.57	61.0377	8.04329
FIRO-Expressed Inclusion	248	.00	9.00	4.4435	2.11913
BMKS-Different Const.	247	2.00	5.00	4.0283	.65890
BMKS-Complexity	248	1.00	3.00	1.3790	.57043
Valid N (listwise)	241				

Phase Three: Inferential Statistics

Given the dichotomous outcome as a dependent variable—either the protocol was coded in the RIC development group or not in the development group—binary logistic regression was used to calculate predictive validity of 7 independent variables (Tabachnick & Fidell, 2001). Logistic regression allows one to "predict a discrete outcome such as group membership from a set of variables that may be continuous, discrete, dichotomous, or a mix" (p. 517). The dependent variable, or the criteria variable, was being included in the RIC development group. It was coded as 1, and the non-RIC group was coded as 0.

To calculate differential predictive validity, all continuous scores (e.g., age and FIRO-B) were converted to a z, or standardized, score, having a mean of 0 and a standard deviation of 1. This insured that all variables were on the same metric (Tabachnick & Fidell, 2001). The FIRO-B scales ranged from 0-9, the CPI scales from 1-100, and the BENCHMARKS 360 from 1-5. For this reason, the standardized scores allowed more accurate comparison in regression tests of the model. The regression coefficients for these variables were standardized.

The overall model was not significant as a whole as shown in the Omnibus Tests of Model Coefficients (Tabachnick & Fidell, 2001) given that significance was .122 and significance was found at or below the .05 level (Table 4.7).

Table 4.7

Omnibus Tests of Model Coefficients

Omnibus Tests of Model Coefficients

		Chi-square	Df	Sig.
Step 1	Step	11.393	7	.122
	Block	11.393	7	.122
	Model	11.393	7	.122

The interpretation of the coefficients using odds ratios means understanding if the odds increase or decrease for being in the outcome category—RIC development codes, in this case—when the value of the predictor increases by one standard deviation unit (Tabachnick & Fidell, 2001). The variables in the Table include *B* (regression coefficient), *S.E.* (Standard Error), *Wald* (simplest default, also called chi-square, statistical significance test), *Sig* (P value of statistical significance), and *Exp(B)* (odds ratio: the increase or decrease in odds being in one category when the predictor increases by one unit). The odds ratio indicates the strength of the effect of each predictor variable.

Logistic regression was used to determine "predictive validity" (Baker, Caison, & Meade, 2007) of RIC development codes. Each independent variable assessed differential validity. As shown in Table 4.8, the results for the simultaneous binary logistic regression indicated that only one variable was significantly related to group membership. The Wald test with one degree of freedom (df) for *Empathy* equals 6.9 and a P value of less than .05, significance level. The *Empathy* scale on the CPI was negatively related with being

in the RIC development group. The odds ratio for this linear regression was .644 on the variable of *Empathy*. In other words, the higher the *Empathy* score, the lower the odds of being in the RIC development group. More specifically, with one standard deviation increase on Empathy scores, one had a 36% decrease in the odds of being in RIC development group.

Table 4.8

Variables in the Equation After Recoding

Variables in the Equation after Recoding

		B	S.E.	Wald	df	P/Sig.	Exp(B)/ Log Odds
Step 1(a)	Age_Recoded	.116	.165	.489	1	.484	1.123
	CPIEm_Recoded	-.441	.168	6.904	1	.009	.644
	BMKS Different Constituents Recoded	.201	.166	1.471	1	.225	1.222
	BMKS_Complexity Recoded	.234	.158	2.193	1	.139	1.263
	FIRO Inclusion_Recoded	.179	.172	1.090	1	.297	1.196
	OrgLev_Recoded	-.406	.369	1.209	1	.272	.666
	GENDER_Recoded	-.093	.357	.068	1	.794	.911
	Constant	-1.132	.222	25.910	1	.000	.322

a Variable(s) entered on step 1: Age_Recoded, CPIEm_Recoded, BMKSDC_Recoded, BMKS_Comp_Recoded, FIRO_Recoded, OrgLev_Recoded, GEN_Recoded.

Although *Organizational Level* had an odds ratio value (.666) close to that of *Empathy* (.644), there were only two Organizational Levels (Middle vs. Top) whereas there were multiple units in *Empathy.* Thus, given the wider range of scores, *Empathy* had a bigger overall effect. Both were negatively related, in that the higher the *Empathy* or *Organizational Level*, the less likely to be in the RIC development group, and only *Empathy* was statistically significant.

Therefore, Hypothesis 1 was rejected; age was not found to be a predictor variable (P value .484) of being coded in the RIC development group. Hypothesis 2 was rejected; being at a higher Organizational level was not a significant predictor (P value .272) of being in the development group. Hypothesis 3 was rejected as gender was not a predictor of being in the development group (P value .794). Hypothesis 4 was rejected; higher Expressed Inclusion scores on the FIRO-B did not predict being coded in the development group (P value .297).

Hypothesis 5 was rejected, however, the finding was significant. The Wald test yielded a P value of .009 for *Empathy* scores. The *Empathy* score was statistically significant as a predictor, but was negatively related. Contrary to the hypothesis that higher scores would be more likely to be in coded in the RIC development group, the higher scores decreased the odds of being the RIC coded development group by 36% for each standard deviation increase in the *Empathy* scores.

Hypothesis 6 was rejected; higher scores on the *Recognizes that every decision has conflicting interests and constituencies* scale was not a significant predictor of RIC development code (P value .225). Hypothesis 7 was also rejected; *Is overwhelmed by complex tasks* is not a scale that was significant for predicting someone in the RIC development group (P value .139).

Summary

From the 81 codes in eight domains, the research utilized 285 protocols creating a taxonomy to provide data for understanding:

- the personal and organizational content indicating what impact occurred (673 codes)

- the domain of reported impact, or who was impacted (*individual, interpersonal, team, organization*)
- the realm of impact (*interior* or inner experiences of sense-making, and/or *exterior*, visible, behavioral, or structural dimensions)
- the frequency of individual impact (8% of protocols) and of impact moving beyond one's self extending to others (92%)
- the evidence of horizontal and vertical (21.4%) development in the protocols

Vast evidence of horizontal development was found in the codes of all domains. Given the limited instances of codes suggesting vertical development, hypotheses were formed and seven independent variables were identified and tested to predict the outcome of a vertical development code (Age, CPI Empathy, FIRO-B Expressed Inclusion, Organizational level, gender, and two BENCHMARKS 360 items). The simultaneous linear progression showed the model of these variables was not significantly related to vertical development coding, with the exception of Empathy, which had a P (significance) value of .009, indicating statistical significance. The overall model and all hypotheses were rejected, however the statistically significant Empathy scale (P value .009) was negatively related to inclusion of the RIC group.

The demographics of the sample were reported. A discussion of the findings and the implications for development, leader development, and leadership development follows in Chapter Five.

Chapter Five: Discussion, Conclusions, and Implications

The purpose of this research was: 1) to investigate if development occurred in the 12 weeks of CCL's LDP; 2) if so, what kind of development?; and 3) what was the participant's experience of any personal or organizational impact?

The emergent data about the personal and organizational impact capture insights about how impact was experienced, who was impacted, where the impact was experienced, and at what frequency it occurred. The data combined with an understanding of integral theory yield an understanding of impact both within as well as beyond the individual. The discussion first addresses the individual impact and then addresses impact beyond the individual. Definitions of development, leader development, and leadership development from Chapter One allow insight to the question: *did development occur?* Integral theory's lens assists the evaluation and interpretation of findings, and frames the discussion of leader and leadership development. It also offers a distinction between horizontal and vertical development to address the question: *what kind of development?*

What was the Experience of Impact?

Where Was the Impact?

The impact data report experiences in both personal and organizational realms of the individual; *Individual* impact was cited more frequently (49% of all codes) than impact in Interpersonal (31%), *Team* (12%) or *Organization* (8%). The structure, design, and marketing of the LDP are intentionally focused on the individuals who will attend a public program and then return to their respective organizations to "lead more effectively." The assessments, except for the 360-degree feedback assessments, are all

self-reported. It is no surprise, therefore, that the *Individual* figures largely in the frequency across domains. This confirms the predominant assumptions of CCL design and marketing focus to individuals within organizations, that the individual is the focus of this program. An assumption that the impact is largely about the individual and does not reach beyond to other, however, is greatly challenged by these data and will be discussed after *Individual* impact.

The rich discussion of the *Interior Individual* realm covers self-awareness, clarity, increasing confidence, shifting perspectives, and seeing connections. The reports of shift often include a greater sense of wellbeing.

The code for making connections between internal and external domains was placed in the *Interior Individual* realm, and sometimes earned codes in other domains as well. These protocols displayed a perspective about connectedness and interplay between distinct realms. In this protocol, the participants realized that the internal sense of being more relaxed somehow was connected with keeping others calm, therefore connecting the interior individual with others attitude or behavior:

> I am better able to deal with conflict and I feel more relaxed and able to handle conflict by maintaining my composure. This assists in keeping people around me calm and is more productive for the team. (1.41)

Also, connections were made between an outer activity or team structure and a refocusing of time and energy:

> All new projects have teams that can pick up some or all of my previous load. Even with current projects I have been reasonable successful in getting key people added to the team to take on roles that will allow me to refocus. (1.51)

The Individual: The Value of Combining Interior and Exterior Foci. The individual focus is examined by many protocols that combine both *Interior* and *Exterior* realms. Given the importance of combining reflection and action as a developmental strategy (Kolb, 1984; Drath, 2003) a post hoc analysis was undertaken, revealing that 59% of all coded protocols contain both an *Interior* as well as *Exterior* codes. If focusing exclusively on Interior Individual codes, the number rises to 87% *Interior* combined with action (*Exterior*).

The frequency breakdown by domain indicates overall 37% of codings reflected *Interior* thoughts and reactions, while 63% reflected actions observable by others. Within the 145 *Interior Individual* coded protocols (Table 4.2), 87% also reported behaviors in *Exterior*, while 13% reported *only* in the *Interior* domain with no mention of action taken.

This is interesting given the constant criticism of leader development programs: the learning may or not be transferred by the individual back to the organization. The supposition is that learning remains in one's subjective realm without action being taken as a result of learning. The data suggest not only evidence that overall 63% of codes report observable, action-taking behavior, but also that 87% of all *Interior Individual* codes also had an action attached to it.

This evidence contradicts common concerns about lack of transfer of learning, and indicates that ideas *are* getting put into action; that awareness and reflection *are* being translated into behavior; that individual awareness *is* serving the interpersonal relationships, teams, and organizations as participants complete their development goal. This myth is discarded as a result of this sample.

Reflection followed by action is considered effective for development (Drath, 2003; Kolb, 1984). Mindful reflection combined with action in these protocols offers evidence that the participant constructs meaning *and* takes action—thereby utilizing both *Right Hand* (observable behavior) and *Left Hand* (perception) *Paths* (Gauthier, 2008). Constructive-developmental theory combines a psychological perspective with a socially mediated perspective when development refers to *reviewing or reconstructing what is* so that it transitions to *something I can affect* (Drath, 2003). Nicolescu (2007) affirms that both paths of development are important: *knowing one's self* and *encountering the other.*

Schmidt (2007) calls for a balance of

> sense making structures with behavioral and operations systems; hands on balanced with conceptual styles; communication structure allowing information to be accessed as necessary—large-scale and whole systems change requires development of individuals' and collectives' interiors as well as the interplay between interiors and exteriors. (p. 27)

He exhorts development initiatives to utilize both *Interior* and *Exterior* realms. Both are important, and one at the expense of the other is an incomplete approach. Volckmann (2005) asserts that leadership is "both the domain of the individual and the system" (p. 290). The combination of *Interior* and *Exterio*r provides evidence of transfer of learning, debunking the myth that learning is not transferred into action.

Evidence of Transfer of Learning: Making Explicit Connections Between Thought and Action. The data provide evidence that transfer of learning is indeed happening as insights (*Interior*) are coupled with action (*Exterior*) in the completion of a goal. The Fort Hill online follow-through platform combines both *Left* and *Right Hand Paths* in their follow-through technology by asking reflective questions as well as asking for reports on "what have you done and what will you do next?" This is done with the intention of

inviting thoughtful reflection and becoming aware of actions taken in service of completing a development goal. I believe that the combination does facilitate transfer of learning, and perhaps development, and its intentional design may position participants to make explicit connections between both *Left and Right Hand Paths.* The connections may not have been made without the system's invitation to reflect and report on activities.

As leadership development initiatives seek ways of making the value of such initiatives visible and articulated to participants and sponsoring clients, this online platform has proven instrumental in documenting evidence of action and reflection, of impact as goals are completed, of the impact on others and systems, and of what thoughts and actions yielded this impact. There are implications for design as well. Explicitly stating sample impact statements in the LDP classroom might help participants mindfully watch and identify any impact in their own worlds as it happens. As the impact becomes explicit—the participants express it by answering the system questions—a participant may become more cognizant of the process and the impact. This practice potentially allows an articulation of impact for one's self and one's organization.

If organizations heard more articulation of how impact provided value to the organization, the perception of development's value could become more widely acknowledged. In situations where measuring a quantitative benefit is difficult, this would provide evidence of how the change makes a difference in the organization.

While this suggests transfer of learning, or application of learning, the question remains: is that development? This is addressed after the discussion of impact Beyond the Individual.

The Domains Beyond the Individual: How and With Whom Impact Was Experienced. Although the *Individual* domains were more represented than any other domain (49%) the data demonstrate that 51% of the impact was actually beyond the individual. The impact was distributed across all eight domains. Specifically, 31% of codings referred to interpersonal impact, 12% to team impact, and 8% to organizational impact demonstrating that the frequency declines as the number of people involved increases. The individual codes (49%) were most represented among the four domains; although the protocol question asked for personal *and* organizational impact, it is not surprising that the individual received the most frequent impact code. The LDP is considered by CCL as an individually focused program, as previously discussed.

The surprise is that—given the individual focus—so many statements do mention others; the impact coded was almost evenly divided between impact reported on the individual (49%), and impact reported beyond the individual on others (51%). This evidence suggests immediately that the assumption of individual impact only must be questioned, and that at least as often the impact extends beyond the individual. The myth that *individual focused programs do not provide value to the organization* is not validated by this research.

The protocols report on how the impact was experienced; the domains report on where and with whom, with increasing relational complexity from interpersonal to teams, to organization. The frequency of codes diminishes as the complexity grows. Moving from a relationship with one person to a relationship with a team, or moving from interacting with a team to interacting with an organization, the complexity increases. These codes acknowledge less impact as domains increase in complexity, but

acknowledge the increasing degree of complexity inherent in impacting systems, rather than one's own life.

Considering the importance of working in increasingly collaborative relationships (Criswell & Martin, 2007), and the potential development opportunity of interacting with others—*sociogenetic* development—the implications of increasing focus beyond self and on others are important in leadership development. Theoretical grounding (Day et al., 2009; Lord & Hall, 2005) proposes that as leaders develop, their leader identity focuses increasingly on others—moving from me, to you and me, and then to all of us. This is a shift of increasing inclusiveness. The results are surprisingly positive: they indicate that many are becoming more inclusive of others. This has implications not only for the individuals, but for the working relationships, the teams, and the organization. This build better networks of relationships, a factor in developing social capital (Day et al., 2009).

In summary, the experience of personal and organizational impact was answered within codes across domains. The individual was impacted in sense-making realms and in actions taken. Given the constructivist nature of this study, no corroborating data examined the impact from the perspective of outside parties; from the participant's lens—the participant's sense of impact—over half the impact (51%) extended beyond the individual in relationships, teams, or organizations. The more complex the system, the less frequently domains were coded. Both individual and collective impact statements highlight evidence of development.

Getting to Development

Did development occur? What Kind of Development?

Leader Development: Developing the Individual. If we understand leader development to include "an individual's expansion or development which includes any learning, change, improvement, growth, or transformation which allows greater effectiveness in leader roles and processes" (McCauley et al., 2009) then we can conclude by the mere completion of a developmental goal that something has changed or some improvement has taken place. Therefore, according to this broad definition, the respondents within this sample have all experienced leader development in their progression: they have attended a program, set a development goal, completed the goal, and report on its impact.

Most every statement of impact contained some mention of learning, change, growth, improvement, or transformation, and more effectiveness because of that. This suggests horizontal development in most protocols. With such rich descriptions of the experience, however, the data lends itself to a deeper discussion about development in general, before revisiting leader and leadership development.

Development includes expansion of worldview (how one defines reality/frame of reference) to include new ideas, beliefs, or values (Volckmann, 2008). There is evidence of this in the emergent *Interior Individual* codes: *Shift in Perspective/View of Life/Worldview; Perception Change;* in the *Exterior Individual* code *Manifesting New Possibilities*; in the *Interior Interpersonal* codes *More Focus on/Openness to others; Increased Relational Complexity*; in the *Interior Organization* code *Shift in Sense of*

System; in the *Exterior Organization* code *Alignment of Organization Actions*, and *New Networks, Collaborations or Social Webs of Interaction.*

Internal sense-making shifts (Drath, 2003) occurred including shifts in perspective, perceptions, and worldviews:

- I have been able to gain a new perspective on what is important in life and what other drivers I should be considering. I had a unique situation where I took what I learned and sat with an individual who was very successful in life and is helping people throughout the world. I spent 2 hours talking with him [about] his changes in life. That experience along with what I learned from the book is life changing. It all fit together and I have a much clearer focus. I can't wait to help make a difference and influence others (3.97)
- It has allowed me to hear additional feedback and help me understand their perspectives. It has also helped me to develop the relationships (1.31)

There may be implicit inclusion of new ideas, beliefs or values in other codes that were prompting new attitudes and behaviors that were not worded as such in the protocols. For example, seeing from outside one's self was mentioned, which represents a more objective, less subjective focus on self. Kegan's (1982) development lens of moving from subject of one's self and beliefs, to object examined by one's self from outside, represents developmental shift (Drath, 2003).

> Personally, the attainment of this goal has helped me to see the perspectives of others, whereas before I would ignore those perspectives that differed from my own. Different ways of looking at things are useful to an organization and help contribute to diversity" (3.20).

Using Volckmann's perspective on development, the research finds evidence to suggest that both horizontal and vertical development is occurring.

If we define development as increasing cognitive (theoretical, reasoning), emotional (sensitivity, empathy), and value (developing one's worldview) intelligences

(McIntosh, 2007) we also find ample evidence of development in the codes. *Gaining New Knowledge, Enhanced Self-Awareness, Self-Monitoring for Behavioral Change, Strategic Focus,* and *Skills Based Improvement* can reflect cognitive arenas; *Empowering Others, Delegation, Sense of Relationship, Increased Relational Complexity, Developing Others, Build/Improve Relationships,* and *Building Team/Social Intelligence* can reflect emotional intelligence areas; and the codes corresponding with Volckmann's (2008) definition of development above indicate increasing value intelligence by expanding worldview. An example is:

> It has helped me to better understand the issues facing my colleagues and how I can be of greatest help and assistance to them. This has in turn, helped me to be a better, more effective, coach and "leader" (3.35)

McIntosh's (2007) definition of development is confirmed within the respondents' statements. Leader development by expanding cognitive, emotional, or value intelligence means an expansion of consciousness. Expansion of consciousness (*Interior* domain) is likely to impact external behaviors as evidenced by the number of protocols in this study citing both *Interior Individual* codes combined with *Exterior* action codes (87%). Even if *only* the individual works on and completes the goal, the interactive nature of the domains (addressed in the Integral Lens section of this chapter) and these findings suggest impact those around the individual. Bob Dorn's 1974 vision of the LDP "making happier, more productive people in their work and their personal lives, and enabling others to do so as well, for the benefit of society worldwide" encompassed the idea that individual development would impact others around them.

As Vygotsky's (Volckmann & Edwards, 2006) *sociogenetic* perspective proposes, the interaction between two people can be a source of development. The results of the

study indicate that the completion of goals was done in interaction with, with impact upon, and/or with reference to others in 92% of the protocols. Relationship, then, is involved in most impact statements. Merry (2009) realizes the potential for engaging with others as a development tool: “As we engage with others we are confronted by the deepest parts of ourselves” (p. 93) and “Relationship is not any of the individuals involved in the relationship. It is what lies between us. We feed it” (p. 93).

Joiner and Josephs (2007) affirm that personal development and leadership effectiveness are connected: as adults grow towards realizing their potential, they develop a constellation of mental and emotional capacities, which the authors call *leadership agility*. Some protocols demonstrate an ability to respond differently to challenges and people around them:

> I have learned that the timing of providing context and background work is important. I had always thought people would like to know this up front. Thus, I gave it at the time of assigning the work. I have learned that this can be confusing and often they would just like the bare instructions up front and would like the explanation and context afterwards (1.79)

Wilber’s (2000a) psychograph could also be a lens to understand development from these protocols. The coders evidenced reference to cognitive, moral, emotional, interpersonal, and spiritual development. Not only did some protocols evidence transcending old ways of thinking and doing, but including the best of the old in the new ways, building upon existing practice with additional insight: “re-embrac[ing] the healthy parts of the old system and bring[ing] them into the new” (Merry, 2009, p. 21). These protocols suggest different lines of development:

- Personally, I feel that my relationships have improved. Organizationally, this encourages open and honest communication (1.86)

- My personal knowledge of the [name] division has given me better insights into whether or not I wish to join that group in the future. I also have formed relationships that make it much easier to collaborate across functions and divisions (1.42)
- Give colleagues the idea they are listened to and not just for the sake of listening but also that something is done with their input. This is confirmed by various colleagues. In times of stress/pressure I should focus on this even more and take time for the important things (1.15)
- 1. Improve communication skills due to less stress 2. Improve my personal health 3. Increase the morale of my child[ren] and family hence increasing my personal morale 4. More time to improve and coach my direct reports (1.61)

In summary, development is occurring as evidenced by expansion of world view (Volckmann, 2009); increasing cognitive, emotional, and value intelligences (McIntosh, 2007); expansion of consciousness (McIntosh, 2007); interaction between people (Vygotsky in Volckmann, 2007) and in leadership agility (Joiner & Josephs, 2007). Individual development is leader development as it allows more effective leadership, as is evidenced in the findings. The discussion now turns to collective aspects of development.

Leadership Development: Developing the Collective. Cacioppe and Edwards' (2005b) thinking connects personal and organizational growth through stages of development, which increasingly enables one to deal with complexity. Torbert (2003) finds that the actions—*action logic*, in his words—one is able to utilize at higher stages of development include an increasing ability to make sense of complexity. This is why Rooke & Torbert (2005) assert that those who undertake a/the voyage of personal understanding and development can transform not only their own capabilities but also of those around them in their organizations; this represents an increase in collective capacity.

There is compelling evidence of a combination of *Interior* codes with *Exterior* codes extending beyond individual domains; 59% of all protocols referenced an *Interior* and an *Exterior* code, such as:

- We started our fall membership drive this week, and I see such a difference in my behavior and that of others around me. Because I am more relaxed, stress is lower for everyone. People feel valued and respected instead of unnecessarily pressured or agitated. It's also helped to focus my efforts and put my energy and attention where it's most helpful. A great final test of working toward this goal (1.22)
- The fact of delegating more to the team has increased the self-confidence level of my team members, which is reflected in good results and interaction with the rest of the organization. I got positive feedback on this. On a personal level the completion of this goal has given me more distance to the tiny details of each day which leaves more space to concentrate on the key projects/priorities that really help me to develop my career (1.7)
- Give colleagues the idea they are listened to and not just for the sake of listening but also that something is done with their input. This is confirmed by various colleagues. In times of stress/pressure I should focus on this even more and take time for the important things (1.15)
- The book really opened my eyes to not only my issue (destructive comments) but to other pitfalls; and more importantly showed a great way to recover. Apology, pledge to do better, communicate what you plan to do better, and get feedback (and feed forward) from your peers/direct reports (1.38)
- 1. Improve communication skills due to less stress 2. Improve my personal health 3. Increase the morale of my child[ren] and family hence increasing my personal morale 4. More time to improve and coach my direct reports (1.61)
- Time for planning and allows me to act more strategically, less tactical. Personal level, time for family (1.69)

These protocols signal development of a collective's capacity, beyond an individual capacity.

Increasing the individual capacity to contribute—human capital—and also increasing a system capacity to contribute—social capital—develops leadership capacity by "building networked relationships among individuals that enhance cooperation and resource exchange in creating organizational value (Bouty, 2000; Day, 2000; Ghoshal, 2005).

Collective intelligence is the "capacity of human communities to evolve towards higher order complexity and harmony, through such innovation mechanisms as differentiation and integration, competition and collaboration" (Merry, 2009, p. 151). For collective intelligence to emerge, Merry considers there must be:

- a shared learning agenda determined by the specific challenges and opportunities that the community wants to address in the short and longer term.
- relationships of trust among members, which liberate the flow of knowledge and value creation
- Frequent opportunities to participate in productive conversations through multiple channels of communication (p. 154)

Collective intelligence resides in the *Interior Team* and the *Interior Organization*, the space of 'we' culture and inter-subjectivity. These include shared values, perceptions, meanings, semantic habits, cultural practices, ethics, and are referred to as culture or *intersubjective patterns of consciousness* (Wilber, 2000a).

The content of subjective consciousness consists of feelings, thought, and decisions; the content of intersubjective cultural structures consists of the shared space of

these things—by subjective consciousness. We also share a capacity to evolve and co-evolve with one another:

> When we manage to be together in this kind of space, great things can happen. When we transcend our sense of separation together, we connect. When we connect, something very tangible emerges between us. It is who 'we' is. Like everything else, it transcends and includes the parts—us. Some form of collective being emerges. We feel as we are swept up in a spiraling vortex of collective insights and compassion. (Merry, 2009, p. 95)

Interaction of Leader and Leadership Development: The Integral Lens. Beyond the *Individual/Collective* (these are terms used in integral theory, and also can be used to understand the eight domains of this research with Collective meaning more than two individuals), and *Interior/Exterior* realms for demonstrating leader development and leadership development, another phenomenon can be examined: the interplay of these arenas upon each other. Integral theory contends that developmental movement within any one quadrant will impact other quadrants and their development.

Day's (2000) definition of leadership, "helping people understand how to relate to others, coordinate their efforts, build commitments, and develop extended social networks by applying self-understanding to social and organizational imperatives" (p. 586) is clearly evidenced in protocols which include *Interior Individual* codes as well as *Exterior Interpersonal, Team, and Organizational* codes. Day et al. (2009), like others (Cacioppe, 2007; Gauthier, 2008; Volckmann, 2007; Wilber, 2000a), consider either leader development or leadership development in isolation of the other to be incomplete; an integral perspective including each is critical.

All four quadrants interact with each other according to Wilber's (2000a) tetra-evolution concept—tetra means four—in continual interplay between how I make sense of my world, how I interact with others and with the systems, and how I tend to my own

development (physical, emotional, cognitive, and spiritual). Here, one participant's comments include various realms interacting with each other:

> Being more communicative with my employees has allowed us to get to know each other better and show them that I am compassionate and sensitive and just not all work driven. This has created a better work environment for my direct reports that is evident and acknowledged within the organization. (1.15)

This protocol contained codes of *Interior Individual, Exterior Individual, Interior Interpersonal, Exterior Interpersonal, Exterior Team, Interior Organization, and Exterior Organization.* Merry (2009) considers this interaction of four quadrants important for evolution. Figure 5.1 demonstrates the representation of impact domains superimposed upon Cacioppe and Edwards (2005b) integral domains.

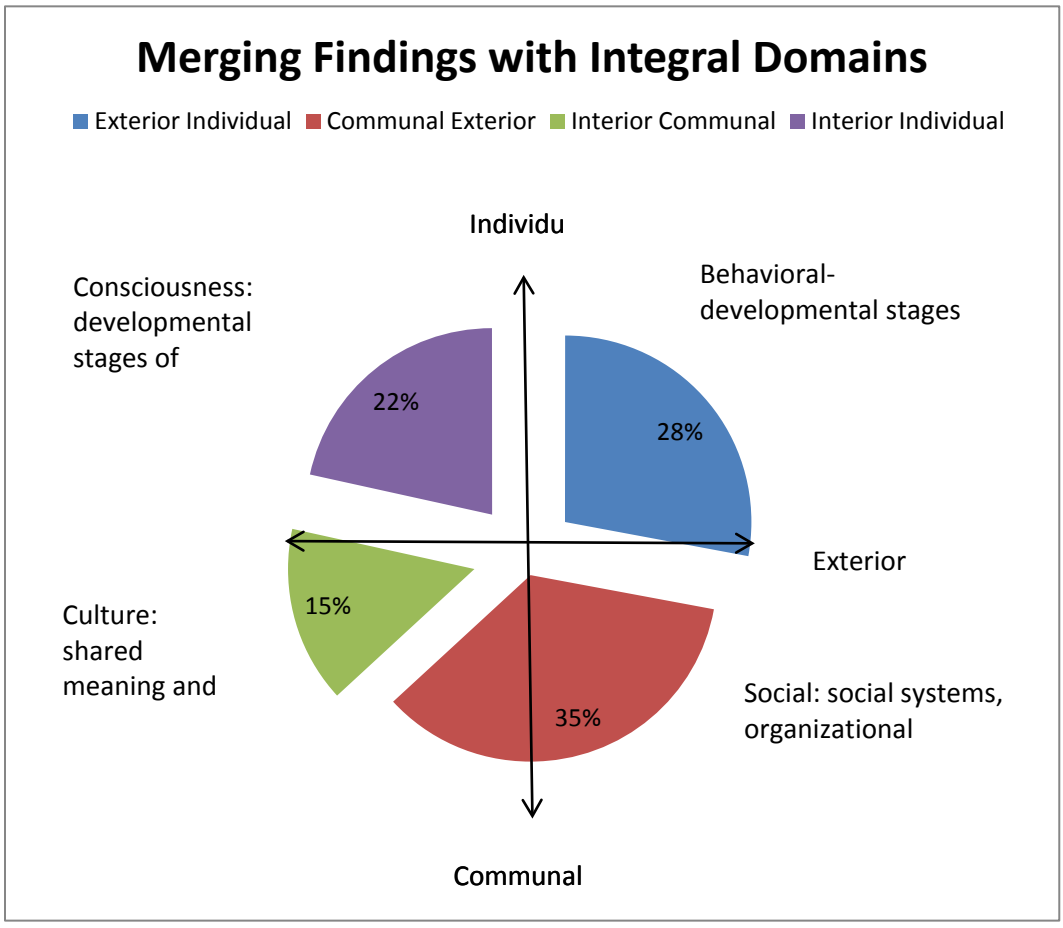

Figure 5.1. Merging findings with Cacioppe and Edwards (2005b) Integral Domains

Beyond the paradigm of leadership as an individual act (Volckmann, 2009), the voices of the LDP participants who have completed their goal resonate clearly; they report evidence of leader development and to a great extent the development of leadership by increasing human and social capital, and the collective intelligence (Merry, 2009). There is also evidence of some who are able to include and transcend prior sense-making structures to be increasingly open to others' perspectives. Examination of the RIC development codes focuses the discussion on the question: *What kind of development?*

Horizontal Development and Vertical Development. Horizontal development refers to taking in new information or a new skill and accommodating it within an existing meaning-making structure. Vertical development signals reorganization of an epistemology to make sense of new information (Volckmann, 2008) and also an increased ability to deal with complexity (Volckmann, 2008). Horizontal development—doing more of the same things—is evident in most protocols. Horizontal development can be a step towards vertical development; since the coding taxonomy describes much of the participants' horizontal development experience, further codes were developed (the RIC development codes) to identify vertical development.

The RIC development codes signaled protocols containing mention of increased *Relation, Inclusion,* and *Complexity* (RIC). The *Relation* (R) code indicated an emerging realization, acknowledgement, or mention of relationship's importance in leading and leadership. The *Inclusion* (I) code acknowledged an emerging or increasing willingness to consider others' distinct perspectives, approaches, ideas, or viewpoints or changing policies or practice to include differing viewpoints. The search for any *Complexity*

codes—transitioning to higher orders of sense-making/consciousness for decision making, tasks, or actions; increasingly complicated challenges one is able to address now; expanded consciousness; or increasing scope or depth of cognitive, emotional, or value intelligences—with these definitions rendered none.

The question used to create the protocols made assessing Complexity difficult. The protocols did not always have information that would address the combining of lower level tasks in a non-arbitrary manner. However, when evidence suggested taking additional factors into consideration for a behavior in the *Relation* or *Inclusion* domains or taking smaller steps—fractal steps (Ross, 2008)—toward increasing complexity, it was coded RIC with evidence of vertical development.

According to Ross (personal communication, 2009), complexity is included in this research's codings of *Relation* and *Inclusion*. Complexity is also inherent as one moves from individual through the domains of increasing inclusion. Levels of complexity increase as more viewpoints and individuals are included. Consciously investing in and nurturing relationships involves more complexity than not taking them into consideration. Since complexity was built into codes of (R) and (I) in this way, then complexity was represented within the data.

The RIC codes were informed by protocol content and sensitizing concepts of vertical development (McIntosh, 2007; Volckmann, 2009; Wilber, 2000a) increasing the ability to deal with complexity (Graves et al., 2005; Kegan, 1982; McCauley, et al., 2006; Rooke & Torbert, 2005; Volckmann, 2009; Wilber, 2000a).

Hierarchical Complexity (Commons & Richards, 2002) theory offers information on the *how* of development. This behavioral-based theory transcends separate

development models and focuses on tasks being done from new perspectives that include more complex sense-making: lower order tasks that are combined in a new, non-arbitrary way to yield a higher order behavior (Ross, 2008). Behaviors reported in protocols did not provide enough information to assign a specific stage of human development. However, Hierarchical Complexity theory allows the tasks and behaviors reported to be examined through a lens of increasingly organizing lower order tasks with greater awareness to accomplish what was not previously accomplished from the lower order actions.

If development represents increased capacity to deal with complexity (Commons & Richards, 2002; Ross, 2008) there is evidence of its happening within the protocols. There are codes which call out complexity specifically (*Shift in Perspective/View of Life/Worldview, Increased Relational Complexity, Understand Relational Complexity, New Networks/Collaborations or Social Webs of Interaction*) as well as RIC codes that identify evidence of taking more perspectives into consideration than before.

While most protocols referred to learning—horizontal development--only 61 of 285 protocols, or 21.4% of all protocols earned RIC coding. Of these, *Relation* codes accounted for 67% of RIC codes, while *Inclusion* accounted for 32%. Given the infrequency of this coding, the group warranted further investigation to see if predictor variables could be identified for inclusion in the RIC group. Inferential statistics tested seven hypotheses regarding inclusion in the RIC group (Chapter Four), but model revealed no significant findings.

The Seven Predictor Variables. Given that development is a lifelong process, not an event, age was hypothesized to contribute to earning RIC coding. Age is not a predictor variable for inclusion in the RIC group; some people seem to be more open to learning from experiences than others (Rooke & Torbert, 2005) without regard to age. A higher Organizational Level, also hypothesized to bring additional potential for development, was not found to be significant in this study. This means that getting older or getting promoted to higher levels does not predispose one to vertical development as coded with this research. Attending a development program does not guarantee development (McCauley & Van Velsor, 2004), nor does age (Hypothesis 1) or organizational level (Hypothesis 2). Even those at higher Organizational Levels (Tops) whose positions might require strategic thinking and managing complexity, were not more represented in the RIC codes. This implies that RIC development codes are not directly correlated with the process of aging or being promoted. It can be further supposed that development happens independently from aging or being promoted; one does not predict the other.

Relational theory suggests that women intentionally invest more energy in relationship (Fletcher, 1999). In these findings, gender was not a predictor variable of significance (Hypothesis 3). Both men and women were represented in the RIC group. Simply investing time in relationships does not earn a RIC coding. The intentionality of many *Relations* codings suggested a new practice, or a practice undertaken from a new awareness about its importance:

- The personal impact has been significant because I feel I have built some trust with my peers and managers that will allow our relationships to grow much quicker and easier (1.30)

- It has allowed me to hear additional feedback and help me understand their perspectives. It has also helped me to development the relationships (1.31)
- I have been more in tune with my staff. I have been a better listener and have improved the functioning of my team (1.29)

Indicating a preference for investing time and energy in behaviors of including others or associating with others (FIRO-B Expressed Inclusion) was not shown to contribute to being included in the RIC group (Hypothesis 4). Behaving in inclusive ways is not linked to demonstration of vertical development. If a person acts this way, the behavior may or may not be connected to an awareness of why inclusion of others would be important. This study shows that *Expressed Inclusion* is not an indicator of RIC development codes.

Neither of the BENCHMARKS 360 assessment scales showed statistical significance as predictors of RIC development group (Hypotheses 6 and 7). The recognition of *conflicting interests and constituencies* does not guarantee that those interests will be considered thoughtfully and with openness. The RIC codes only are awarded when one demonstrates openness to other's viewpoints.

Likewise, the derailment measure of being *overwhelmed by complexity* was not statistically significant. If one reflected a significant doubt about the ability to deal with complexity, it would seem that they would not be represented in the RIC group. However, this hypothesis was rejected, as were all others. The only significant predictor variable found was *Empathy*.

This variable was the only statistically significant predictor (P value .009) of all variables. Its relation with the RIC outcome was inverse, meaning that as scores drop lower there is a greater likelihood of being included in the RIC group. The *Empathy* scale

at higher scores indicates a talent for "understanding how others feel and think, and who display warmth and tactfulness in their dealings with others" (Gough & Bradley, 2005, p. 6). If someone were already predisposed to interpersonal understanding, warmth, and tact, the reporting of its impact would not be as noteworthy; if the scores were low, the change or impact might be reported given a change had occurred and the impact had been noted.

Although *Organizational Level* has an odds ratio value (.666) close to that of *Empathy* (.644), there is only one organizational level (Middle vs. Top) whereas there are multiple units in *Empathy*. Thus, given the wider range of scores, *Empathy* has a bigger overall effect. Both are negatively related, in that the higher the *Empathy* or *Organizational Level*, the less likely to be in the RIC development group, and only *Empathy* is statistically significant.

Although the finding seems counter-intuitive, those who score lower on *Empathy* are actually more likely (P value .009) to be in the RIC group. This finding poses an interesting question: is the RIC code indicating those who were not able to demonstrate behaviors before, but are reporting on a newly acquired ability to do these things now? Might this suggest that those who have already been in a position to practice the realization that relationships are important, and who have developed beyond that realization will not report that as a new practice, and therefore not earn RIC development codes?

If this were true, then only those for whom this would be a new step might report its impact. Those who had lived with the realization, the behaviors, the practice, or the already high Empathy could remain undetected by the RIC codes. The participants may

have already had practices of *Relation* and *Inclusion*, therefore these factors were not reported as new or different. If one were doing 'more of the same' it would not qualify for a RIC code, but pertain to a realm of horizontal development.

In summary, none of these factors was able to predict vertical development, as defined by RIC codes, as anticipated. The RIC codes as described here may not be able to prove vertical development and other instruments or processes may assess vertical development in more complete ways. The self-reported expansion of perspective, the increased inclusion of other's perspectives, and the increase in investing in relationships with others does however suggest evidence of vertical development.

It also suggests that vertical development, if represented by RIC codes, is beyond personality traits (FIRO-B scores, for example), the passing of time, gender, and beliefs about one's self as reflected in the self reported competency scales. Although horizontal development is prevalent, vertical development is not a guaranteed outcome of LDP. Many life conditions represent variables which impact both horizontal and vertical development.

Future Directions

Integral theory's four quadrants co-evolve and develop over time. Not only can a quadrant include and transcend thoughts and awareness into emerging and evolving patterns, the quadrants impact and interact with each other over time.

Theorists suggest that organization/system development does happen, much as individual development happens. The codes suggest that the *beyond individual* domains are impacting the collective. Future study could gather data from collectives to understand more about the experience of collective impact. Merry's (2009) discussion of

entrepreneurial intelligence (set new systems), translational intelligence (maintain good things currently in use), and transformational intelligence (shift old system into new system) offers structure for reporting evidence of value within an organization, and a structure for future research on an organization's evolution and development. This study found evidence of entrepreneurial, translational, and transformational intelligence within first-person protocols, but future research could seek evidence within a team or system.

Since leadership is an unfolding process—a movie, instead of a photograph—(Volckmann, 2009) future studies might track the process evolving over the twelve-week period, instead of collecting impact data upon completion of a development goal. Complexity science proposes that leadership is a complex interactive dynamic with emergent adaptive outcomes (Uhl-Bien, Marion, & McKelvey, 2007); evolutionary leadership theory asserts that all quadrants interact, develop, and evolve over time (Merry, 2009). Studying the progression over time would allow insights into evolutionary leadership and any emergent outcomes.

Also, goal statement content could be examined for evidence of horizontal or vertical intention; this intention could be examined in relation with the outcome or impact of achieving the goal. This research did not address whether or not the outcome was directly correlated with the intention or an emerging realization over time—maybe unrelated to initial development intent.

Given the practical, and precise ability of Hierarchical Complexity to quantify development from reports of tasks (Ross, 2007), further study could develop a three dimensional model utilizing not only the type of impact (for example, the 81 emergent codes from the content analysis), and the domain of impact (one of the eight domains in

this study), but an assessment of the level of task complexity adding a third dimension to the understanding of vertical development.

The third dimension might also examine development stage of the participant—with the content and domain—or utilize the Theory of Hierarchical Complexity to calculate development yielding a robust model of vertical leader and leadership development.

Further study could also include Reflections, the retrospective 360° assessment to measure perception of change from both a first- and second-person perspective.

Conclusions and Implications: Making the Value of Development Visible

Evidence of leader development, leadership development, and horizontal and vertical development is found in this study. This expands Wilson's (2005) findings of *self awareness*, *other awareness*, and *motivation to change behaviors* as outcomes of CCL's development programs. The lens of online technology allowed this researcher to see beyond motivation, to completion of a goal *and* evidence of adult development over the twelve weeks.

The 2004 CCL Europe study points to key learnings: "19% [report] about the need to be more open" (Ascalon et al., 2004). Beyond reporting an *awareness of a need to be open*, online follow-through allows this researcher to see the *outcome* and *impact of being more open*. CCL studies state that behavior change has been reported to happen (Hannum & Martineau, 2008; McCauley & Van Velsor, 2004; Wilson, 2005). Contributing beyond report of behavior change, this study provides first-person reports of *what kind* of behavior changes occurred and *who was impacted by that change*.

Some organizations might believe that developing individuals is nice, but want to see a return on the investment of development initiatives: an impact on the bottom line and the capacity to generate revenue or be more effective. Quantifying these outcomes is considered difficult (Hannum et al., 2007); as a development initiative provider I have new language to understand and position the value that development brings to an organization. Furthermore, if I can reference these outcomes during the initiative with participants, I can help them understand what development is, how to recognize it, observe as it impacts outcomes, and cultivate an awareness of what difference that makes to the organization.

The surprising findings of this research indicate that the impact is not just on the individual, but that actions being taken in the name of development are impacting relationships, interaction, sharing of information, decision making processes, and practices of feedback for relationships and performance. They point to developing social capital and collective intelligence.

But there is a challenge in understanding and presenting the value of building human or social capital within an organization. Bob Dorn's vision for CCL's LDP when he designed it in 1974 was to create happier and more productive people, who would then enable others to be so as well. But does that present value to a sponsoring organization?

This study positions the researcher to become more adept at describing the value of reported outcomes to a sponsoring organization. The value was reported in having more effective working relationships, more constant feedback to improve performance, and new systems of sharing information. Individuals reported value to themselves, their personal life and family, and their outreach to be more effective in the collective of their

relationships, teams, and organizations. Most reported horizontal development, and only some (21.4%) have comments that earned vertical development codes. The work being done enables individuals and collectives to deal with complexity.

The role of leader is increasingly about working with others in collaborative relationship (Criswell & Martin, 2007); this underlies the importance of how we work together. The experiences above report positive impact in the space between people, which can impact the effectiveness of our working together as well as other potential development for those involved. Merry (2009) proclaims, “the task we face is to meet in collective space beyond separation, in all of our relationships with others. We live together in that space, we think together in that space, we work together in that space” (p. 98).

Creating new practices to engage in dialog with others creates a new way of becoming a “we,” a team. Day et al. (2009) also recognize that when collectives are impacted in the capacity to do the work of leading, this is called leadership development (Volckmann, 2009).

The collective reported improvements in the structures of practice and policy, information sharing, and creating collective value in the form of relationship and its practice. These protocols demonstrate practices that enhance the value of the collective working together, or collective intelligence (Merry, 2009). These comments reflect a creation not only of increased human capital, but experience that builds collective strength and practice, know-how, and social capital—by enhancing cooperation and resource exchange—and collective intelligence.

Organizations historically have calculated value of hard assets rather than by the value created with human or social capital investment (Echols, 2008). The value created by human or social development and articulated by authors (Echols, 2008; Eisler, 2007), must also be articulated by leader and leadership development providers, as well as participants who find an increase in capacity to face challenges for which no solution already exists (Heifetz, 1994). That articulate voice can help make visible the value that may often be overlooked or disappeared (Fletcher, 1999)—not recognized for its value. If leadership is a source of competitive advantage (Day, 2000) then developing both human and social capital is an advantage. The participants have articulated the outcomes and impact of that development, which can provide confirmation of a valuable investment in both human and social capital development.

This is the value that must be recognized and articulated by facilitators by participants to provide evidence of value in the investment of development initiatives. The ability to reorganize the way of making sense of the world to increasingly include others, include others' worldviews, is an ability to bring those talents to the increasingly complex and collective practice of leadership.

Chapter One identified adaptive challenges (Heifetz, 1994) as ones for which no preexisting solution exists. This is a challenge for those who assume the role of leader in current times. Hierarchical complexity—combining lower level actions in non-random ways to achieve a higher-level action (Commons & Richards, 2002; Ross, 2008)—positions development as an advantage for leaders facing adaptive challenges. Complexity leadership theory reiterates the importance of developing the adaptive capacity of complex adaptive systems (Uhl-Bien et al., 2007). This research has shown

various domains of relationship of increasing complexity that have been impacted by completing a development goal.

Collaborative relationships (Criswell & Martin, 2007), collective meaning-making (Palus & Drath, 1995), increasingly broad worldviews (Bordas, 2007; Harris & Kuhnert, 2008; Hoppe, 2001; Volckmann, 2009), and leadership agility (Joiner & Josephs, 2007) are outcomes of leader and leadership development. Development is important for leading in times of adaptive challenges and increasing complexity that globalization, innovation, and change bring. For these challenges, radical shifts are called for:

> The magnitude of change at all levels calls for radical shifts in vertical development—shifts involving how we learn to see through a new lens, how we change our interpretation of what is experienced, how we transform the fundamental nature of our view of reality. Development in this regard focuses on transformations of consciousness. (Schmidt, 2007, p. 28)

Transformation "involves fundamental changes rather than surface changes and therefore a relative break with the status quo ex ante, or no way back to the previous self or condition" (Essed, personal communication, 2009; see also Essed, Frerks, & Schrijvers, 2004). This study has shown evidence of fundamental change or transformation that allows a reorganization of one's epistemology to deal with complexity.

Plato's concern about the length of time required for developing leaders still exists. It is a lifelong process. Even if it takes a lifetime to prepare someone to assume the role of leader, in twelve weeks we see evidence of not only learning—horizontal development—but of reorganizing one's epistemology—vertical development. This

positions one to deal with increasingly complex challenges for which no preexisting solutions exist—"problems that require us to learn new ways" (Heifetz, 1994, p. 2).

This research asked three questions: did development occur? What kind of development? And what was the experience of impact? A fourth question that could be asked is what are the implications for leadership?

It has been shown that neither age nor gender is a predictive factor for vertical development codes. Organizational level or positional authority does not predict the presence of vertical development codes. Likewise, personality traits and self-reported capacity for inclusion or ability to not be overwhelmed with complexity do not predict vertical development codes. Even self-reporting the ability to understand different constituencies' perspectives does not predict vertical development codes. Higher scores on the *Empathy* scale (CPI) do not predict vertical development, but the lower the scores on the *Empathy*, the more likely one is to earn development coding.

We have seen how a five-day plus online follow-through initiative leads to development of human capital, social capital, collective intelligence, and expanded consciousness through vertical development. It has been shown that today more than ever, leading individuals and collectives through complexity requires expanded levels of consciousness. People *are* getting something of value from the LDP experience: they are becoming aware, taking action, and accomplishing things. Development *is* happening. They tell us how it makes a difference. It is affecting them as individuals, affecting people around them, and affecting their leading in organizations. Leader and leadership development does happen during the LDP process.

APPENDIX

Appendix A

Interview Survey Questions

"I'd like to follow up with you about your experience during the ten weeks following your program:"

1. How valuable/applicable was LDP learning to your life and work?
2. Tell me about your progress/achievements as a result of your learning in LDP
3. Help me understand your follow-through on goals set during LDP
    a. What were the obstacles to follow-through
4. Compared to other priorities on plate, how ***motivated*** were you to act on learnings to change or improve something?
    a. What motivated you or contributed to success?
    b. What will keep you motivated to make learning stick?
5. What supported you if you have made progress on those goals?
    a. Readiness Accountability Support Motivation Personality Traits
6. Did you share your goals with your boss?
    a. If no, why not?
    b. What was his response?
    c. Did he follow up on the attainment?
    d. Was there accountability?
    e. Was it a part of your performance development plan?
7. Did you find value in the online follow through management system?
    a. What was supportive?
    b. What frustrated your efforts
    c. How could CCL support you more effectively
8. Can you rate the value of this online support to your progress?

    1 – 5 (not at all-very supportive)

Appendix B

Demographic Data

Gender of Participant

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Female	76	30.6	30.6	30.6
	Male	172	69.4	69.4	100.0
	Total	248	100.0	100.0	

Race

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid		8	3.2	3.2	3.2
	African	7	2.8	2.8	6.0
	Asian	8	3.2	3.2	9.3
	Asian or	2	.8	.8	10.1
	Caucasia	179	72.2	72.2	82.3
	Hawaiian	1	.4	.4	82.7
	Hispanic	9	3.6	3.6	86.3
	Multicar	7	2.8	2.8	89.1
	Other	2	.8	.8	89.9
	Other (p	25	10.1	10.1	100.0
	Total	248	100.0	100.0	

Degree

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid		1	.4	.4	.4
	Associate	11	4.4	4.4	4.8
	Bachelor	101	40.7	40.7	45.6
	Doctorat	21	8.5	8.5	54.0
	High Sch	12	4.8	4.8	58.9
	Master's	95	38.3	38.3	97.2
	Other	3	1.2	1.2	98.4
	Professi	4	1.6	1.6	100.0
	Total	248	100.0	100.0	

Organizational Level

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid		6	2.4	2.4	2.4
	Executive	67	27.0	27.0	29.4
	First Level	2	.8	.8	30.2
	Middle	57	23.0	23.0	53.2
	Not Relevant in My S	1	.4	.4	53.6
	Top	7	2.8	2.8	56.5
	Upper Middle	108	43.5	43.5	100.0
	Total	248	100.0	100.0	

Sector of Organization

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid		3	1.2	1.2	1.2
	Business	196	79.0	79.0	80.2
	Private	25	10.1	10.1	90.3
	Public S	24	9.7	9.7	100.0
	Total	248	100.0	100.0	

Number of Employees

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid		1	.4	.4	.4
	1 to 9	1	.4	.4	.8
	10 to 99	23	9.3	9.3	10.1
	100 to 999	67	27.0	27.0	37.1
	1000 to 4999	56	22.6	22.6	59.7
	10000 or more	74	29.8	29.8	89.5
	5000 to 9999	25	10.1	10.1	99.6
	Not Relevant	1	.4	.4	100.0
	Total	248	100.0	100.0	

Compensation

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid		165	66.5	66.5	66.5
	100,000 to 124,999	14	5.6	5.6	72.2
	125,000 to 199,999	27	10.9	10.9	83.1
	200,000 to 299,999	11	4.4	4.4	87.5
	25,000 to 49,999	2	.8	.8	88.3

	400,000 and over	1	.4	.4	88.7
	50,000 to 74,999	11	4.4	4.4	93.1
	75,000 to 99,999	17	6.9	6.9	100.0
	Total	248	100.0	100.0	

Level of Experience

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid		161	64.9	64.9	64.9
	Moderately experienced	36	14.5	14.5	79.4
	No experience	21	8.5	8.5	87.9
	Very experienced	30	12.1	12.1	100.0
	Total	248	100.0	100.0	

GMName

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Brussels	8	3.2	3.2	3.2
	Colorado	75	30.2	30.2	33.5
	Greensbo	83	33.5	33.5	66.9
	San Dieg	75	30.2	30.2	97.2
	Singapor	7	2.8	2.8	100.0
	Total	248	100.0	100.0	

Descriptive Statistics

	N	Minimum	Maximum	Mean	Std. Deviation
Age of Participant	242	25.00	59.00	43.0826	6.97010
CPI Empathy	248	37.49	75.57	61.0377	8.04329
FIRO-Expressed Inclusion	248	.00	9.00	4.4435	2.11913
BMKS-Different Const.	247	2.00	5.00	4.0283	.65890
BMKS-Complexity	248	1.00	3.00	1.3790	.57043
Valid N (listwise)	241				

Variables in the Equation before Recoding

		B	S.E.	Wald	Df	Sig.	Exp(B)
Step	Age	.017	.024	.489	1	.484	1.017

1(a)	Em	-.055	.021	6.904	1	.009	.947
	EI	.084	.081	1.090	1	.297	1.088
	BMK57	.304	.251	1.471	1	.225	1.356
	BMK146	.410	.277	2.193	1	.139	1.506
	OrgLev_Recoded	-.406	.369	1.209	1	.272	.666
	GEN_Recoded	-.093	.357	.068	1	.794	.911
	Constant	-.668	1.946	.118	1	.732	.513

a Variable(s) entered on step 1: Age, Em, EI, BMK57, BMK146, OrgLev_Recoded, GEN_Recoded.

Appendix C

Inter Rater Reliability

Couplets of raters and their agreement on Overlap protocols

Training to Taxonomy 8 – 28, June 20, 2009 n = 20

LS - L	87.5%	Overall:
L – ME	88.1%	**88.1**
ME - LS	88.7%	

Sheet 1-1 00 July 3, 2009 n = 22

LS –L	90.3%	Overall:
L – ME	88 %	**88.4%**
ME – LS	86.9%	
Sheet 2: 125-150 July 10, n = 26		
LS – L	88.9%	Overall:
L – ME	81.7%	**85.9%**
ME - LS	87 %	

Sheet 3: 225 – 250 July 11, n=22

LS – L	93.8%	Overall:
L – ME	89.2%	**92.3%**
ME - LS	93.8%	

Appendix D

Goal Category Comparison over Various Groups

Goal Categories

Goal Category	N=4,193 (2006)	N=19,131 Set Goals (2008)	N=1,451 Completed Goals (2008)	N=224 Completed: No Development Code (2009)	N=61 Completed: RIC Development Code (2009)
Build & Maintain Relationships	25%	29%	32%	27%	53%
Improve Self/	16%	15%	13%	17%	13%
Balance Work/Non-Work Activities	12%	10%	7%	6%	3%
Demonstrate Leadership	11%	5%	4%	8%	-
Improve Self-Awareness	7%	7%	8%	6%	2%
Develop Others	7%	10%	12%	11%	8%
Build Effective Teams	9%	5%	4%	6%	3%
Career Development	7%	10%	10%	11%	5%
Make Effective Decisions	3%	>1%	1%	1%	2%
Value/Leverage Diversity	>1%	>1%	1%	1%	3%
Other	3%	5%	4%	3%	3%
Manage Change (added 2007)	-	4%	3%	2%	5%

Appendix E
Code Book

Note: once a domain is coded within a protocol, it will not be recoded and counted more than once. This is to avoid confusion since wordy answers might suggest duplicate codings in the same realm and brief answers might not. The question is about where the experience of development is impacting the participant, his or her relationships, teams, groups, etc.: in other words: which domains are represented. To standardize potentials within each of eight domains, the question is present or not. Various codes are possible within the same protocol, given that one response may contain various ideas which represent various realms.

Individual Realm of Impact: 1 person

1A: More Interior- Human capital:

Interior=experience within one's self, relationship, team, or organization; how I think or feel about myself;
mention of internal states

1. **Enhanced Self Awareness/Clarity:** increased ability to perceive one's self, one's internal processes, one's cognitive, emotional, meaning-making, spiritual, physical insights, one's capacity for interpersonal engagement, for behaviors; demonstrated understanding of one's strengths, weaknesses, and sense-making.
    1. Indicators: mention of internal processes, emotional states, qualities of internal realm: feel better about self; happier, more relaxed, aware of long term goals
2. **Clarity of Self-Concept/Identity:** evaluation one makes of one's self and self-beliefs (p. 426 Avolio) identity reformed, expanded, changed. "This is who I am."
3. **Self-Care:** interior ways of making sense of caring for one's health, wellbeing, and optimal
4. **Self-Confidence:** expressing opinions, viewpoints, communication in proactive ways that were not previous practice. Refrain from holding back due to lack of confidence, introversion, or lower interpersonal preferences. May increase sense of personal agency.
5. **Clarity of developmental path forward:** understanding or knowing where I want to go, clarity about development opportunities,
6. **Enhanced Emotional State/Increased subjective quality of life: Happier, joke around more, more relaxed. Less concern/worry:** minimizing concern about others' behavior that was troublesome before, less concerned about being micromanaged 2.26

7. **Balance/Boundaries:** setting parameters for self-care as a way of seeking whole life balance; intentionally, managing my energy at work 2.22
8. **Seeing from outside one's self:** objective observation of one's self or impact, acknowledgement of feedback, rather than being bound in subjective way
9. **Shift in Perspective/View of Life/Worldview:** increased clarity, asking the bigger questions (how I view my life, where I am, where I am going), bigger context. Stepping beyond/outside old meaning-making structures. Encompassing more complexity in worldview. Distance from details
    1. Indicators: comments of viewing things differently (different view of customers);
10. **Self Monitoring for Behavior Changes:** watching one's self for specific behaviors and noting when they are employed or not, especially in conjunction to a goal to do more/ do less of this behavior.
11. **Seeing connections; Lenses of Causality; Measure, Measure, Feel It or Quan, Quan, Qual:: mixing internal and external impact realms;** recognizing connections between realms of increasing inclusion, eg connecting internal happiness with ease at work; interior effects energy level, listening impacts others, which empowers others, which frees up my time
12. **Strategic Focus/distance from details**: intentional choice of a larger, more long term perspective to inform viewpoint; recognizing the value of not allowing the details to absorb time/energy
13. **New Knowledge: gaining new knowledge or understanding.** New ideas are incorporated within existing sense-making structures.
    1. **Exclusions:** knowledge that challenges existing sense-making structure, which makes reaccomodation of structures necessary to take in new information=development.
14. **Perception Change:** different point of view from one previously held but not as significant as reshaping worldview
    1. **Exclusions:** significant shift of increasing complexity

1B More Exterior: Exterior=behaviors, structures, or observable evidence (what I/we do, make, externalize)

1. **Self-Care:** behaviors undertaken with the intent of caring for one's health, wellbeing, stress management, or other
2. **Self Correction/Proactive Choosing of Behaviors for different impact:** behaviors undertaken intentionally to cause different impact; the change in behavior can be more important than the results obtained, ie. Allowing direct reports to set the goals instead of the participant setting the goal FOR them-the behavior is in stepping back and allowing more participation instead of exercising control.
    a. **Indicators:** conscious practicing of a behavior such as: listening, allowing others to speak first, asking for input, proactively communicating intentions or viewpoints
3. **Working towards Mastery:** mention of sustained practice and progress over time, sense that behavior is practiced enough to stick or be done with goal 2.25
4. **Authenticity/Alignment:** choosing behaviors or actions stemming from values congruent with sense of self.
5. **Self-disclosure:** sharing information about one's self, one's learning, experience, assessments, goals for development, etc
    a. **Indicators:** mention of talking with others, communicating results/process of LDP assessment data, sharing goals
    b. **Exclusions:** if the impact on others is noted, it can also indicate Interpersonal realm
6. **Redistribution of Time/Energy/Space**: some behavior shift has opened up time for other work-work considered to be important and not previously done due to time constraints.
    a. **Indicators:** statements of "freeing up my time," or "making space for," mention of doing activities that otherwise would not have been done without the redistribution of time. May contain mention of delegation or empowering others to do work formerly done by participant.
7. **Manifesting New Possibilities:** noticing or acting upon the emerging possibilities and opportunities not before imagined/taken
8. **Individual Productivity:** enhanced individual performance: "I've improved my performance"
9. **Career development:** impact on career possibilities: affects my career development; will be helpful in my career.
10. **Empowering Others:** My actions which shifts power from I to you.
    a. **Indicators:** this realm the act is focused on what one does, not the interaction necessarily.

b. **Exclusions:** if mention is made of the impact on others, or working effectively with others and them feeling empowered as a result, this would be interpersonal realm or team realm (if team is mentioned by name).

11. **Delegation of reports, projects, etc a participant would have done, but now allows others accomplish them:**
    a. **Indicators:** handing off something to another person, individual action
    b. **Exclusions:** if there is dialog, agreement, buy-in, this can be interpersonal realm or greater
12. **Action Completed: a simple statement of getting done what one proposed to do**
    a. **Indicators:** no reflection of inner process or meaning assigned. Just got it done. There may be some ambiguity about other impact with a mere statement of completion
13. **Skills based improvement**: improving some hard skill, not higher order skill involving others or skillfully working with others
    a. **Indicators:** set the plan in motion, took the course, executed the plan, etc.
14. **Expressing an opinion, viewpoint/ communication:**
    a. **Indicators:** the act of communication without reference to it being an act of development or necessarily dialog with others

Interpersonal Realm of Impact- Between a dyad, maybe more than 2, but no mention of the terms:group, team, division, etc.

2A More Interior

Interior=experience within relationships; how we think or feel about the relationship; mention of internal states or referral to shared sense of something within a relationship

1. **More focus on/Openness to others:** considering other's experiences, point of view, openness to others' point of view or ideas
2. **Sense of Relationship**: interpersonal antenna with others in mind, or with quality of relationship in mind
    i. **Exclusion**: about me and what I do, how I am seen vs .about our relationship; when vocabulary is about I….instead of we/us; "showing them that I'm not…."
3. **Perception Change:** sense that other's perceptions of our relationship has changed
    i. Indicators: increased credibility ,increased trust, others view me differently now

ii. Exclusions: other explicitly provides feedback about changed perceptions

4. **Increased Relational Complexity**: factoring in greater aspects of interpersonal/social realm than previously considered/ focus on interconnected aspects of working together;

2B More Exterior: Exterior=behaviors, structures, or observable evidence (what I/we do, make, externalize)

1. **Create/Build Relationships:** this outer manifestation of investing in relationships involves at least one other person
    1. **Indicators:** the focus is to improve the quality of the relationship with behaviors
2. **Involving Others:** inclusion of others in activities, eg. meeting with boss 3.7
3. **Developing/Coaching Others:** helping others work on core issues, making coaching a priority, realizing benefits of coaching others, making more time for coaching;
4. **New behavior in service of others/change benefitting others:** Being a guide to others: serving to orient or help others.
    1. **Indicators:** I modify my behavior so you can be comfortable or we can be effective.
    2. **Exclusions:** doing more of the same with same consciousness
5. **External Validation of Progress/ Change:** Others observe the behavior change, or value in the behavior change: comments about others noticing, giving feedback, or otherwise affirming the changes
6. **Impact Others' Experience:** participant's action or behavior change affects others' subjective experience or emotional state
    1. **Indicators:** "my DR's feel better about…" "everyone around me seems more relaxed"
7. **Impact Others' Behavior:** my behavior has effect on others' behavior choices
8. **Empowering Others:** shifting power from I to you; report of others growing or being empowered.
    1. **Indicators:** mention of others taking activity with a sense of being empowered, or recognizing that being empowered is a desired outcome of the activity undertaken
    2. **Exclusion:** simple mention of someone else doing the job may fall into 1A

9. **Delegation:** mention of working together with another redistributing tasks.
    1. **Indications:** requires parties working in same direction
    2. **Exclusions:** if participant indicates off-loading a task, but not mention of reciprocal action to take on the off-loaded task
10. **Forward Plans: 3.7**
11. **Listening**: an activity between people that impacts interpersonal realm;
    1. **Indicators:** repeating what someone is saying so they feel heard, not talking over someone, saying "I hear you"
12. **Encouraging Others:** activity that expresses belief in someone, that helps them move forward
13. **Improved communication:** 2 way; indicating back and forth with participation in both directions.
    1. **Exclusion:** no mention of other person reciprocating or participating

Group/team/division/department realm of impact: Specific referral to these terms: otherwise, interpersonal realm. Team etc must be mentioned by participant.

3A More Interior Interior=experience within or of one's group, team, division or equivalent. The sense we have of ourselves as team; How we think or feel about ourselves; mention of internal states of group, team,

1. **Higher morale** : reported impact on a team's (etc) sense of spirit or energy being raised, improved 2.23
2. **Better trust:** sense of the team's confidence about working together is improved 2.23
3. **Establish Credibility:** mention of credibility being established or improved
4. **Increased Confidence of Team Members:** mention of increased confidence of team
5. **Team Cohesion:** building trust, stronger sense of working together, more sense of belonging to the team
    a. **Indicators:** description of an inner quality, mentioned by name (team, group, division, etc)
    b. **Exclusions:** mention of behavior manifest in outer world; this belongs in exterior (alignment, for example)
6. **Build/ Improve Relationships linked to positive team or organizational outcomes:** More collegial team 2.24

a. **Indicators:** investing time/energy in relationships and our team, connected with positive or improved outcomes
b. **Exclusion:** if behavior is reported without interior intentionality, then it moves to exterior realms

7. **More positive approach to issues within the dept/team:** 2.32: interior focus or outlook of team is positive, or the impact of a participant's intention to influence the sense of team towards a positive approach when facing challenges or issues
    a. Indicators: mention of the way a team, group, etc feels about itself or about being a member of it; reported sense of the group, team, facing challenges in more positive ways
    b. Exclusions: if one's focus is decidedly positive, but is not mentioned as impacting the group or team, check 2A or if only as a participant's experience refer to 1B
8. **Atmosphere of Team:** change in team climate, feelings or emotions of team members that impact sense of being with the team; for example, "increased the self confidence of team members"
9. **Understanding Relational Complexity:** increased realization or awareness of interconnected nature of working together or the social webs that allow effective working together; recognizing importance of relationships and their qualities in the group, team
    a. Indicators: intentional awareness and being within a group or team recognizing the "web" of relationships and its importance
    b. Exclusions: engaging relationships only for outcomes without mention of the team or group (see 1A if others are not considered; see 2A if another is considered); adopting behaviors for effect, without recognizing the importance of relationships
10. **Mutual Influencing/Interaction of our Inter-subjective realm:** recognition or awareness of the impact those who lead can have on a team
    a. **Indicators:** By doing one thing I have impact on groups: "by being positive, I empower." "I calm down my peers/boss when I am calm;" Realizing one's role in impacting outcomes

3B More Exterior: Exterior=behaviors, structures, or observable evidence. What we do, make, practice,
externalize as a group, team, division.

1. **Team communication: bridging communication gaps, sharing information:** mention of a team engaging in practices that transmit information within the group or amongst each other
    1. **Indicators:** intentional sharing of data for a better informed, or more effective team, group, etc.
    2. **Exclusions:** communication as individual activity (1B) without regard to or mention of "team" group, etc. (also check 2B if with one other person)
2. **Improved Team Performance/Productivity/Progress; taking on more**
3. **Quality of Contribution to Team:** the participant is able to contribute value to the team; the team members contribute more value to team in behaviors, actions
4. **Build team strength by communication, feedback, SBI's:** intentional use of feedback mechanisms, feedback loops to build a stronger team; purposely structuring or leveraging more opportunities to engage in developmental dialog; feedback as tool to organize team 2.19; "I am interested in what my team had to say and their input is valuable to me" 2.21; beginning to build trust in each other
    1. **Exclusions:** strategy to practice or structure communication with impact on another person (2B)
5. **Actions Positively Influence Inter-subjective Relational Space (how we make sense of working together):** intentional choice of behaviors to help team's experience of working together be more positive; implies lenses of causality within a collective (as 1A.11 does for individual)
    1. **Indicators:** I monitor my voice inflection which has powerful impact on team, help others to remain calm even during difficult conversations.2.20)
    2. **Exclusions:** actions that impact another, without mention of group, team, etc.
6. **Building team/social intelligence** : bridging communication gaps, sharing information, building trust, creating value for group, team, division

1. **Indicators:** must extend impact to include more than one person, mention of group, team, division.
2. **Exclusions:** mention of one person (ie. Boss) in interpersonal realm

7. **Alignment of team, group, division:** collective structure, guidelines, or practice for activity focused in a unified direction (where before there may not have been evidence of that focus before)

1. Indicators: manifest evidence of moving in a direction together; activities that promote this

2. Exclusions: evidence of sense-making (more interior 3A) rather than behaviors

8. **Developing new capacities:** the team or team members develop new skills or abilities; "the team is more self-sufficient now," team takes on additional responsibilities, team engages in learning together (for example, "my presentation sparked a conversation about…")
9. **Support Team**
10. C**ollaborate, share knowledge, practice:** various individuals coming together with intent to have more informed practice together.
    1. Indicators: beyond individual, beyond interpersonal. Focuses on the coming together
11. **Increased thought generation**: instituting practices or structures for generating and building on others' ideas as a collective.
    1. Indications: beyond coming together, this yields output that is potentially valuable for the organization.
12. **Searching for more Business Opportunities:** seeking out additional ways of improving business as a team; maybe reaching into new markets, tapping new techniques or structures to increase bottom line or possible new revenue streams 2.27
13. **Empowering a Team:** activities designed to give power to team
14. **Start a Team:** simply beginning, launching a team; reference to the activity as beginning or initiating a team, group, cross-functional team, etc

Organization/System Impact

4A More interior: Interior=experience within an organization; how we think or feel about ourselves, the ways we make sense of ourselves as an organization

1. **Stronger Rapport/Connectedness between teams:** indications that different teams have a sense of coming together, connectedness, or rapport between them
    a. **Indicators:** mention of two or more areas, teams, divisions, etc having rapport or better sense of being connected
    b. **Exclusions:** mention of individual or interpersonal rapport
2. **Shift in Sense of System:** reference to a large shift in the way the organization or system experiences itself
    a. **Indicators:** guidelines, culture, collective thought is shifting
3. **Establish credibility and trust in Organization:** sense of organizational trust or improved credibility of the collective—not just one team, group
    a. **Exclusions:** mention of individual or team (refer to 2A)
4. **Perception Change within Organization:** an impact larger than interpersonal or team, this perception change/shift is credited on an organizational scale, eg "I am viewed differently within the organization now;"
5. **Better Sense of Organizational Alignment:** mention of the organization's focus or sense of itself as more unified; interior sense may be mentioned ;
    a. **Exclusions:** activities or behavior reflecting alignment belong in 4B

4B More Exterior Exterior=behaviors, structures, or observable evidence (what we do, make, externalize)

1. **Building bridges between teams or areas of organization/system with positive impact**: establishing communication, sharing of information, collaborative practice that brings areas together within the organization.
    a. **Indications**: action bringing two teams together for a stronger organization;
2. **Impacting Structure of System**: reported impact to practices such as ongoing operations, architecture, communication process, functions, ways people organize themselves within the organization
3. **Alignment of Organization Actions:** actions that reflect cohesive, organized, practices or processes of the organization

   a. **Exclusions:** focus on internal organizational sense of itself are 4A5

4. **New networks, collaborations or social webs of interaction:** relational behaviors reflecting web-like, as opposed to one-on-one social interaction; collaborations in non-previously identified formats new to organizational practice
   a. **Indicators:** improving networks within an organization, or at organizational level
   b. **Exclusions:** interpersonal networking, or team networking
5. **Succession Planning:** organizational level development of individuals preparing them for the next challenge upon promotion, building the leadership pipeline within organization, building bench strength to deal with more complexity. The focus is on the organizational capacity, structure, and planning for contingencies of employees leaving or being promoted and preparedness to meet the upcoming challenges.
   a. **Exclusions:** career development with a more Individual focus belongs in Individual domain
6. **Influence Organization Performance Results:** participant's actions influence organization performance, productivity, or outcomes, results, products, persons, team.
   a. **Indications:** delivery of product used at various levels of org 3.9
7. **Created a product/process/service for use by organization:** reported use of a new product or process which is used in the organization
   a. **Indications:** something new (did not exist before) has been proposed or structured for those within the organization to now use
   b. **Exclusions:** new products used by team would be 3B

Development Realm: Relation, Inclusion, Complexity: This realm denotes evidence of development as indicated by these three markers of human and social capacity:

Relation: Emerging realization, acknowledgement, or mention of relationships' importance in effective leading and leadership. Energy invested in building, improving, maintaining relationships with others; building networked relationships among individuals to enhance cooperation, resource exchange; suggestion of one's perspective including relationship as a focus; growth as a result of interaction with others, social interaction providing development;

Indicators: must manifest two-way sense, not just one's self.

Inclusion: emerging or increasing willingness to consider others' distinct perspectives, approaches, ideas, or viewpoints; demonstrating emerging openness to others ideas, efforts; supporting others' ideas instead of promoting one's own; helping others, teams, groups, or the organization recognize value in inclusive thinking; changing policies or practice to include differing viewpoints

Indicators: share ideas or perspectives

Exclusions: sharing data or information (does not stretch existing meaning-making structures)

Complexity: transitioning to higher orders of sense-making/consciousness for decision making, tasks, or actions; including and transcending previous sense-making structures; increasingly complicated or difficult challenges one is able to address now, but not before; increasing an ability to organize information, processes, structures while factoring in nuances/data not previously considered; expanded consciousness; increasing scope or depth of cognitive, emotional, or value intelligences; proposing or accomplishing tasks for which no pre-existing solution exists (a la Heifetz); actions taken previously at a next lower order of hierarchical complexity are organized and transformed as actions at higher levels; new or not-arbitrary actions that cannot be accomplished by simpler solutions; adding together lower-order solutions (simpler solutions) of subtasks in a non-arbitrary order to coordinate new coordinated (non-random) task behavior (Commons, 2008); new ways of thinking driven by limitations of a prior/ previous way

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