

BEYOND GENEROSITY: THE ACTION LOGICS IN PHILANTHROPY

by

Jennifer Amanda Jones

A dissertation submitted in partial fulfillment
of the requirements for the degree of

Doctor of Philosophy

May 2015

Dissertation Committee

Robert Donmoyer, Ph.D.

Fred J. Galloway, Ed.D.

Zachary G. Green, Ph.D.

University of San Diego

ProQuest Number: 3703403

All rights reserved

INFORMATION TO ALL USERS

The quality of this reproduction is dependent upon the quality of the copy submitted.

In the unlikely event that the author did not send a complete manuscript and there are missing pages, these will be noted. Also, if material had to be removed, a note will indicate the deletion.



ProQuest 3703403

Published by ProQuest LLC (2015). Copyright of the Dissertation is held by the Author.

All rights reserved.

This work is protected against unauthorized copying under Title 17, United States Code
Microform Edition © ProQuest LLC.

ProQuest LLC.
789 East Eisenhower Parkway
P.O. Box 1346
Ann Arbor, MI 48106 - 1346

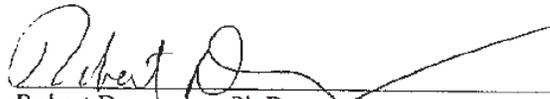
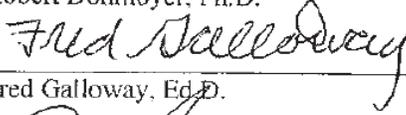
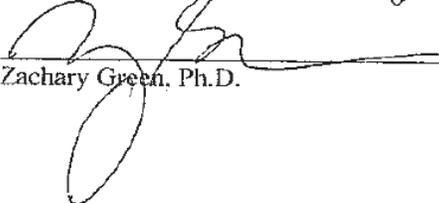
© Copyright by Jennifer Amanda Jones, 2015
All Rights Reserved

UNIVERSITY OF SAN DIEGO
SCHOOL OF LEADERSHIP AND EDUCATION SCIENCES

CANDIDATE'S NAME: Jennifer Amanda Jones

TITLE OF
DISSERTATION: BEYOND GENEROSITY: THE ACTION LOGICS IN
PHILANTHROPY

APPROVAL:

	_____
Robert Donmoyer, Ph.D.	Chair
	_____
Fred Galloway, Ed.D.	Member
	_____
Zachary Green, Ph.D.	Member

DATE: February 16, 2015

ABSTRACT

What influences the thinking and decision processes of donors when they engage in philanthropy? This study employed developmental psychology to explore this question. Developmental theorists agree that an adult develops in sequential stages over the course of a lifetime, gradually adopting an increasingly complex mental map. An individual's developmental stage at any point in time, theorists argue, is made manifest as a type of "action logic" through which the individual interprets his/her external world and internal experience. One's action logic is subtle and, for most of one's life, operates outside of conscious awareness. It becomes evident, however, through attitudes, thoughts, and behaviors. In recent years, some theorists have developed techniques to measure an individual's developmental level.

Stage theories of development have been used successfully for a variety of purposes in a number of fields. To date, however, neither the theory nor the associated measurement techniques have been employed to study philanthropic giving.

This study, which represents the first step in a long-term research agenda, explored how the action logics of a sample of donors affect philanthropic giving. The purpose was to (1) identify donors' action logics, (2) explore what types of influences a donor's action logic may have on a donor's philanthropic decisions; and (3) determine how, if at all, a donor seeks feedback from others or engages in self-reflection regarding his/her philanthropic agenda.

The study, which included 11 participants, employed a four-phase mixed-methods design. First, qualitative interviews were conducted and data generated were developed into cases studies using a process characterized as narrative analysis. Second,

developmental theory was used to code the data and hypothesize about each participant's developmental level(s). Third, three formal tests of trustworthiness were implemented to test the qualitative analysis: member checking of the narrative analysis, triangulation with the results of the Global Leadership Profile instrument, and a formal research audit of three cases. Finally, a cross-case analysis highlighted key themes from the qualitative data.

ACKNOWLEDGEMENTS

First and foremost, I wish to acknowledge the eleven individuals who bravely participated in this study. I am deeply humbled by and indebted to each and every one of you. You know who you are. Thank you.

This research would not have been possible without the thoughtful guidance of my committee: Robert Donmoyer, Ph.D., Fred Galloway, Ed.D., and Zachary Green, Ph.D. Individually and collectively you have improved both the robustness of this study and my skills as a researcher. I hope to one day mentor others as you have each mentored me. Thank you.

I am also grateful for the individuals who served as research auditors or as practitioner reviewers for this study. Research auditors include Elizabeth Castillo, Sean Horrigan, and Jessica Williams. Practitioner reviewers include David Daniel, Joan Michaud, and Shannon Stubblefield. I appreciate your time, your insights, and your willingness to explore this work with me.

There are a number of other individuals who provided feedback on different aspects of this work. These individuals include attendees at the University of San Diego's 2015 Board Governance conference, members of the University of San Diego's 2014 Adult Development class, and my students in National University's Worldview and Adult Development course. Sharing this research in these venues has offered invaluable opportunities to reflect upon and improve this work.

I am also indebted to my experiences at the Institute for Nonprofit Education and Research and to the Caster Family Center for Nonprofit and Philanthropic Research. Specifically, I am grateful for the mentorship of Pat Libby, Laura Deitrick, Ph.D., and

Mary Jo Schumann, Ph.D. during these past four years. You have helped me navigate the transition from nonprofit practitioner to nonprofit scholar. Thank you.

There are many more individuals without whom this work would not be possible. I would like to thank the faculty and staff at the University of San Diego for providing such a wonderful learning environment for me to complete both M.A. and Ph.D. degrees. I am also grateful to my family for their support not just in this endeavor but throughout my life. William Torbert, Ph.D. served as a special advisor to this project and I am especially grateful for his information and advice during the early stages of this project. I am also grateful for the support of Anne Koenig, Ph.D., Leslie Hennessey, Ph.D., Julia Buchanan, Ph.D., Mr. Beans, and my peers at the University of San Diego. I wish to also acknowledge the members of the 2012 class of Adult Development, taught by Zachary Green, Ph.D., who allowed me explore (however inarticulately at the time) the early ideas behind this research.

Additionally, I am indebted to the staff and donors of the MetaIntegral Foundation for providing the grant funding without which this project would not have been possible. Above and beyond funding, these individuals, particularly Sean Esbjörn-Hargens Ph.D. and Jennifer LeBrett, saw the potential application of this research and provided me with support and encouragement. I am humbled to be among your first group of grantees and look forward to continuing this work for many years to come. Thank you.

Finally, I am grateful to the many individuals who are a part of the nonprofit sector. I am proud to engage with you in a dance that, as this research only begins to describe, is far more nuanced than we may be aware. Let us continue.

TABLE OF CONTENTS

BEYOND GENEROSITY: THE ACTION LOGICS IN PHILANTHROPY	I
ABSTRACT.....	IV
ACKNOWLEDGEMENTS.....	VI
TABLE OF CONTENTS.....	VIII
LIST OF TABLES.....	XVI
CHAPTER 1: BACKGROUND AND PURPOSE OF THE STUDY	1
Introduction to Developmental Theory.....	2
Statement of the Problem.....	4
Purpose of the Study / Research Questions.....	6
Research Questions and Assumptions.....	6
CHAPTER 2: REVIEW OF THE LITERATURE.....	8
Introduction.....	8
Developmental Psychology.....	9
Erik Erikson’s Psychosocial Stages.....	9
Jane Loevinger.....	10
Robert Kegan’s Orders of Consciousness.....	13
William Torbert’s Action Logics.....	18
The historical lineage of the Global Leadership Profile.....	21
The psychometric properties of the various instruments.....	25
Other Developmental Theorists.....	36
Connecting the Dots: Torbert and Kegan.....	37
Development as a Dynamic, Not Static, Process.....	40
Developmental Theory and Philanthropy.....	43
Literature Review Conclusions.....	44
CHAPTER 3: METHODOLOGY.....	46
Overview of the Study’s Design/ Rationale for the Design.....	46
Participant Selection.....	48
General Strategy.....	48
Selection Criteria.....	48
Sampling Techniques.....	50
Participant Characteristics.....	51
Data Collection and Analysis.....	52
Phase I: In-depth Interviews and Case Construction.....	53
A word about the Subject-Object Interview.....	54
Documenting Phase I findings.....	56
Phase II: Theory-Based Analysis of Narrative Data.....	57
Phase III: Insuring Trustworthiness.....	59

Member checking.....	60
Triangulation with the Global Leadership Profile (GLP).....	60
The role of the GLP in this study.....	63
Research audit.....	64
Phase IV: Cross-case Analysis.....	65
Conclusion.....	65
CHAPTER 4: INTRODUCTION TO FINDINGS AND ANALYSIS OF CASES #1	
AND #2.....	67
Introduciton to Findings.....	67
Case #1: Paula: Steward of Legacies.....	71
Part I: Narrative Analysis.....	71
Accidental philanthropist.....	72
A second legacy.....	72
Paula’s contribution.....	73
A new immersion.....	74
Relationships: A strength and a challenge.....	75
Part II: Theory-Based Analysis.....	76
The Diplomat avoids inner and outer conflict.....	77
The Diplomat suppresses own desires in order to maintain harmony.....	77
The Diplomat seeks membership in and acts as social glue for organizations and groups.....	78
The Diplomat avoids giving and receiving negative feedback.....	79
One additional point about Paula, the Diplomat.....	79
Conclusion.....	81
Case #2 Julieta: Auditor, Advocate, Steward.....	82
Part I: Narrative Analysis.....	82
The early years.....	82
A whole new world.....	84
A turning point.....	85
The accident.....	86
The leadership challenge.....	88
Entering the political life.....	89
Looking farther ahead.....	90
Part II: Theory-Based Analysis.....	91
An Expert is interested in solving problems within the logic of their craft.....	92
An Expert makes decisions based on technical merit.....	92
An Expert chooses efficiency over effectiveness.....	93
An Expert can be a perfectionist and, thus, susceptible to burnout.....	94
An Expert is open to feedback from craft masters.....	95
Conclusion.....	97
CHAPTER 5: ANALYSIS OF CASES #3 AND #4.....98	

Case #3: Joseph: Leading Through Leverage	98
Learning the power of leverage	101
The lessons of turbulence.....	104
A new model of philanthropy	106
Collective impact: His new frontier.....	108
Seeing growth	111
Part II: Theory-Based Analysis	112
The Achiever is interested in results and effectiveness	112
The Achiever sees him/herself as an initiator in establishing and working towards long-term goals and outcomes	113
The Achiever is drawn to learning (and leading) across disciplines	114
The Achiever is aware of his/her own pattern of behavior but does not question that pattern	115
The Achiever seeks feedback from those deemed worthy to provide feedback; uses feedback to determine if s/he is meeting self-defined standards and goals	116
Case #4: Melissa: Making Things Neat, For Now	119
Part I: Narrative Analysis	119
The early years: Becoming comfortable with numbers and charity	119
The middle years.....	121
Philanthropist, team member, and leader.....	125
Part II: Theory-Based Analysis	129
The Achiever is interested in results and effectiveness	130
The Achiever sees him/herself as an initiator in establishing and working towards long-term goals and outcomes	132
The Achiever is drawn to learning (and leading) across disciplines	133
The Achiever is aware of his/her own pattern of behavior but does not question that pattern	133
The Achiever seeks feedback from those deemed worthy to provide feedback; uses feedback to determine if s/he is meeting self-defined standards and goals	134
Conclusion	135
CHAPTER 6: ANALYSIS OF CASES #5 - #7.....	136
Case #5: Samantha: Offering Opportunity.....	136
Part I: Narrative Analysis	136
The seeds of success	136
Samantha: The philanthropic advisor	137
The first family foundation: Learning together.	138
Resident engagement	140
A variety of responses from the community.....	141
Samantha in the middle.....	142
Building resident leadership	143
The second family foundation: A foundation of their own.....	145
Honoring a Legacy.....	147

Part II: Theory-Based Analysis	147
The Achiever is interested in results and effectiveness	148
The Achiever sees him/herself as an initiator in establishing and working towards long-term goals and outcomes.	150
The Achiever is drawn to learning (and leading) across disciplines	152
The Achiever is aware of his/her own pattern of behavior but does not question that pattern.	152
The Achiever seeks feedback from those deemed worthy to provide feedback; uses feedback to determine if s/he is meeting self-defined standards and goals	153
Conclusion	154
Case #6: Richard: Learning to Lead Leaders	156
Part I: Narrative Analysis	156
Climbing the ladder.....	156
Starting over.....	158
Re-learning to lead.....	159
From executive to philanthropist	161
An introspective yet outcomes-oriented philanthropist	163
A new challenge: leading leaders	165
Executive coaching	167
Part II: Theory-Based Analysis	169
The Individualist is aware of and often questions and redefines his/her own perspectives.....	170
The Individualist focuses on long-term goals and outcomes, but considers these goals within a broader context	171
The Individualist is sensitive to individuality and to context (historical and present day).	172
The Individualist seeks feedback as a way to determine if s/he is meeting self-defined standards and goals; uses feedback to determine whether and how those standards and goals should be reevaluated	173
Seeking disconfirming evidence	173
Conclusion	175
Case #7: Vanessa: Creating Spaces for Meaningful Change	176
Part I: Narrative Analysis	176
Creating identity.....	177
Shared space.....	178
A public-private life.....	181
Defining philanthropy	182
Trying to make a difference.....	186
The next phase	189
Part II: Theory-Based Analysis	190
The Individualist is aware of and often questions and redefines his/her own perspectives.....	191

The Individualist focuses on long-term goals and outcomes, but considers these goals within a broader context	192
The Individualist is sensitive to individuality and to context (both historical and present day).....	193
The Individualist seeks feedback as a way to determine if s/he is meeting self-defined standards and goals; uses feedback to determine whether and how those standards and goals should be reevaluated	195
Conclusion	196
CHAPTER 7: ANALYSIS OF CASES #8 AND #9	197
Case #8: Stacey: Working Along the River of Education.....	197
Part I: Narrative Analysis	197
It starts at home	198
Reflecting back	199
Entry into philanthropy	200
Becoming a savvy philanthropist.....	201
Bigger gift, bigger impact.	202
Connecting the dots.....	203
Working at many points along the river	205
Helping others think differently.....	206
Working at both the personal and systemic levels.....	208
Part II: Theory-Based Analysis	209
The Strategist is oriented to long-term goals and outcomes and sees goals and outcomes as inseparable from the learning process of everyone involved	209
The Strategist is so familiar with the process of redefining his or her own perspective that he or she becomes interested in helping others do the same	210
The Strategist enjoys playing a variety of roles.....	211
The Strategist locates his/her work within a broader context	212
The Strategist is open to feedback about every aspect of his- or herself	212
Conclusion	213
Case #9: Phyllis: Building Trust, Paving the Way.....	215
Part I: Narrative Analysis	215
A conscientious listener	215
Business school and beyond	217
For-profit “volunteers”: The birth of a pharmaceutical company	218
Phyllis, the generalist at work.....	220
Phyllis, the generalist in philanthropy	221
Multiple strategies in philanthropy	222
Fostering cross-sectoral collaboration	224
Impact investing.....	227
Pursuing impact.	229
Conclusion	230
Part II: Theory-Based Analysis	230

The Strategist is oriented to long-term goals and outcomes and see goals and outcomes as inseparable from the learning process of everyone involved	231
The Strategist is so familiar with the process of redefining his or her own perspective that he or she becomes interested in helping others do the same	232
The Strategist enjoys playing a variety of roles	233
The Strategist locates his/her work within a broader context	234
The Strategist is open to feedback about every aspect of his- or herself	234
Phyllis as an emerging Alchemist	235
Conclusion	237
CHAPTER 8: ANALYSIS OF CASES #10 AND #11	238
Case #10: Kris: Learning, Exploring, and Experiencing	238
Part I: Narrative Analysis	238
Finding her niche.	239
A broader professional impact	241
Becoming a philanthropist	242
Leading philanthropists	244
An appreciative approach to philanthropy	245
Working on multiple levels	247
Expectations and new journeys	250
Part II: Theory-Based Analysis	251
The Alchemist embraces common humanity	252
The Alchemist is more concerned with the experience of self than the ideas held about the self	253
The Alchemist regularly challenges paradigms of thought and is comfortable operating in the space between paradigms	254
The Alchemist may or may not be pursuing outcomes but, if so, is doing it without attachment or fervor	255
The Alchemist approaches seemingly tragic situations with a relaxed compassion that may be perceived as uncaring or aloof	256
The Alchemist is oriented to the present moment and, consequently, pays attention to where his/her attention is drawn	256
The Alchemist is open to feedback about every aspect of his/herself.	257
Conclusion	258
Case #11: John: Looking Far, Looking Deep	260
Part I: Narrative Analysis	260
The hula hoop	260
Doing the right thing	261
Introspection	263
The fullness of the human experience	264
Lessons learned	265
Moving forward	266
Attending to multiple levels of activity	269

John's growth edge	270
Recognition	271
Conclusion	272
Part II: Theory-Based Analysis	272
The Alchemist embraces common humanity.....	273
The Alchemist is more concerned with the experience of self than the ideas held about the self	273
The Alchemist regularly challenges paradigms of thought and is comfortable operating in the space between paradigms.....	274
The Alchemist may or may not be pursuing outcomes but, if so, is doing it without attachment or fervor; and the Alchemist approaches seemingly tragic situations with a relaxed compassion that may be perceived as uncaring or aloof	275
The Alchemist is oriented to the present moment and, consequently, pays attention to where his/her attention is drawn	276
The Alchemist is open to feedback about every aspect of his/herself	277
Conclusion	277
CHAPTER 9: TRUSTWORTHINESS.....	279
Introduction	279
Member Checking.....	279
Factual Accuracy	280
Accuracy of Overall Perspective	280
Insuring Confidentiality.....	281
Overall Reflections on Member Checking	282
Global Leadership Profile Results.....	283
A Review of Procedures for Administering the GLP	284
Results	285
Possible reasons for discrepancies.....	285
Reason #1: Discrepancies might reflect contextual variation.....	286
Reason #2: Philanthropy may be an activity during which donors, particularly postconventional donors, may be more likely to exercise their optimal action logic	288
Reason #3: Reactivity bias may have occurred during the interview process.....	290
Reason #4: The characteristics of the Subject-Object interview, itself, may have influenced the assessment	293
Reason #5: Bias may have been introduced by the GLP analysis procedures.....	296
Conclusion.....	300
Further exploration of three cases.....	301
Audit.....	304
Audit Procedure.....	304
Audit Results	305
More about Paula	306
More about Julieta.....	306

More about John	308
A Note about the Process.....	308
Conclusion.....	310
CHAPTER 10: CROSS-CASE ANALYSIS	311
Introdcution	311
Theme #1: Convictions: The Structure of Beliefs Regarding Philanthropy	313
Mapping Participants' Structure of Thought to a Logic Model Framework.....	319
Conclusion.....	322
Theme #2: Empathy: The Capacity and Desire to Walk in Another Person's Shoes .	322
Theme #3: Development: Growth Edges	326
Theme #4: Healing: Recoverable Loss	332
Parallel Processing.....	335
Conclusion.....	337
CHAPTER 11: DISCUSSION.....	339
Overview of Findings.....	339
Research Question #1	340
Research Question #2	341
Research Question #3	343
Overarching Theme	344
Instrument and Methodological Considerations	346
Instrument and Interview Considerations.....	346
Methodological Considerations: Unexpected Data	350
Member checking.....	351
The interviewer's reaction	351
Contributions to the Literature	355
Implications for Practice	359
Implications for Fundraising	359
Board Governance Implications	360
Implications for Program Design	361
Feedback from Practitioners	362
Conclusion.....	364
Study Limitations	365
Limitations of the Instruments.....	365
Sample Size	366
Participant Selection	366
Selection criteria	366
Diversity.....	367
Issues of Confidentiality	368
Conclusion.....	369
Suggestions for Future Research.....	369
Conclusion.....	371

REFERENCES	372
APPENDIX A INTERVIEW GUIDE.....	383
First Interview.....	383
Second Interview	383
INSTITUTIONAL REVIEW BOARD CLEARANCE.....	384

LIST OF TABLES

TABLE 1 LOEVINGER'S EGO DEVELOPMENT STAGES	11
TABLE 2 KEGAN'S ORDERS OF CONSCIOUSNESS	13
TABLE 3 TORBERT'S ACTION LOGICS	18
TABLE 4 THE FAMILY OF INSTRUMENTS: WUSCT, LDP, AND GLP.....	24
TABLE 5 A MAPPING OF THE THEORETICAL FRAMEWORKS OF TORBERT AND KEGAN	39
TABLE 6 CORE CHARACTERISTICS OF EACH ACTION LOGIC	58
TABLE 7 CORE CHARACTERISTICS OF EACH ACTION LOGIC	68
TABLE 8 CORE CHARACTERISTICS OF THE DIPLOMAT ACTION LOGIC	76
TABLE 9 CORE CHARACTERISTICS OF THE EXPERT ACTION LOGIC.....	91
TABLE 10 CORE CHARACTERISTICS OF THE ACHIEVER ACTION LOGIC	112
TABLE 11 CORE CHARACTERISTICS OF THE ACHIEVER AND INDIVIDUALIST ACTION LOGICS	130
TABLE 12 CORE CHARACTERISTICS OF THE ACHIEVER AND INDIVIDUALIST ACTION LOGICS	148
TABLE 13 CORE CHARACTERISTICS OF THE INDIVIDUALIST ACTION LOGIC	169
TABLE 14 CORE CHARACTERISTICS OF THE INDIVIDUALIST AND STRATEGIST ACTION LOGICS.....	190
TABLE 15 CORE CHARACTERISTICS OF THE STRATEGIST ACTION LOGIC.....	209
TABLE 16 CORE CHARACTERISTICS OF THE STRATEGIST AND ALCHEMIST ACTION LOGICS	231
TABLE 17 CORE CHARACTERISTICS OF THE ALCHEMIST ACTION LOGIC	251
TABLE 18 CORE CHARACTERISTICS OF THE ALCHEMIST ACTION LOGIC	272
TABLE 19 RESULTS OF GLP AND INTERVIEW ASSESSMENTS	285
TABLE 21 MATRIX OF POSSIBLE REASONS FOR DISCREPANCIES BETWEEN ASSESSMENTS	301
TABLE 22 THE THREE CASES WITH THE LARGEST DISCREPANCIES BETWEEN ASSESSMENT TECHNIQUES	302
TABLE 23 AUDIT RESULTS FOR PAULA, JULIETA, AND JOHN	306
TABLE 24 CATEGORIZATION OF ACTION LOGICS	312
TABLE 25 A MAPPING OF THE THEORETICAL FRAMEWORKS OF TORBERT AND KEGAN ...	313
TABLE 26 RELATIONSHIP BETWEEN ACTION LOGICS AND STRUCTURE OF PARTICIPANTS' BELIEFS ABOUT PHILANTHROPY	314
TABLE 27 QUOTE MATRIX ILLUSTRATING STRUCTURE OF BELIEFS AT EARLY ACTION LOGICS.....	315

TABLE 28 QUOTE MATRIX ILLUSTRATING STRUCTURE OF BELIEFS AT MIDDLE ACTION LOGICS	316
TABLE 29 QUOTE MATRIX ILLUSTRATING STRUCTURE OF BELIEFS AT LATER ACTION LOGICS	318
TABLE 30 MAPPING PARTICIPANTS' FOCUS TO A LOGIC MODEL FRAMEWORK.....	320
TABLE 31 PARTICIPANTS' EXPRESSION OF EMPATHY	323
TABLE 32 PARTICIPANTS' DEVELOPMENTAL GROWTH EDGES	328
TABLE 33 PARTICIPANTS AWARENESS AND PARTICIPATION IN THEIR PERSONAL GROWTH EDGES	330
TABLE 34 RESULTS OF GLP AND INTERVIEW ASSESSMENTS	341

CHAPTER 1:

BACKGROUND AND PURPOSE OF THE STUDY

A dominant narrative in the nonprofit sector is that philanthropists give of their time, treasure, and talents to help others. Donors give; recipients receive. And, as a result, the recipients' lives are improved. This narrative, however pleasant, is short-sighted. As this research project will suggest, the story is far more complex. Donors, too, sometimes find that their lives are changed through philanthropic activities, and the changes can extend far beyond the so-called "warm glow" of giving (Andreoni, 1989). Embedded in the activity of philanthropy is an opportunity for donors to redefine the limits of their own thinking and to find new and more profound ways of connecting with other humans. To understand what this possibility looks like, we must first understand how donors' ideas about philanthropy are formed.

Acts of charity—of helping others—may seem clearly to be the right or, in some cases, the wrong thing to do; however, convictions about whether and how to help others are far more complex than often assumed. Neuroscientist Robert Burton (2012) wrote that "despite the fact that a moral conviction feels like a deliberate, rational conclusion to a particular line of reasoning, it is neither a conscious choice nor even a thought process" (p. 132). He likened the experience of a conviction—of knowing, for example, that something is right or wrong—to other bodily sensations outside of our direct control. Just as we cannot stop a wound from hurting, so, too, Burton argued, we cannot escape the involuntary brain mechanisms underlying convictions. In and of itself, this is not necessarily a bad thing. Indeed, Burton argues that it is unescapable. It does, however,

have implications for altruistic acts such as those evidenced in philanthropy. Burton warned us to view altruism as the product of unconscious motives. He wrote:

For me, acting altruistically is like prescribing a medication. Believing that you are helping isn't enough. You must know, to the best of your ability, the potential risks as well as the benefits. And you must understand that the package insert as to the worth of the medication (your altruistic act) was written by your biased unconscious, not by a scientific committee who has examined all of the evidence (p.136)

Burton's (2012) suggestion—that a seemingly altruistic act can be the manifestation of a way of thinking upon which the giver is unable to reflect—is the essence of this study. A person's way of thinking, which Burton describes as “biased unconscious” (p. 136), has also been described by developmental theorists as one's developmental stage or action logic. As this study will demonstrate, the phenomena of developmental stages has important implications for philanthropic giving and, more importantly, can help us develop a more complete narrative of what, exactly, happens when donors give.

Introduction to Developmental Theory

Developmental psychology—specifically the theories that have emerged since Erik Erikson's (1959) pioneering work—has produced theories that have been used in a number of fields and applied for a variety of purposes. Such theories have been useful in activities including education, parenting, business, and healthcare.

Developmental theorists, notably Jane Loevinger (Loevinger, 1976, 1998; Hy & Loevinger, 1996; Loevinger & Wessler, 1970), Robert Kegan (1982, 1994), Cook-

Greuter (1999), and William Torbert (2004, 2013; Rooke & Torbert, 2005), agree that adults develop in sequential stages. Throughout the course of a lifetime, developmental theorists argue, an individual gradually adopts an increasingly complex mental map through which he or she perceives the world.

Theorists have described stages in different ways, even identifying different numbers of stages. Kegan, for example, discussed five total stages while Wilber identified nine. There are also differences in how the theorists characterize each stage. Despite differences, however, there is consensus on many key points. Theorists generally agree that an individual's developmental stage can be conceptualized as a type of action logic through which the individual interprets both his/her world and his/her own internal experience, and that action logic is translated into attitudes, thoughts, and behaviors. They also agree that an action logic is subtle and, for most of an adult's life, operates outside of an adult's consciousness.

Most developmental theorists also agree that there is a distinction between what have been labeled "conventional" and "postconventional" stages of development. At the conventional stages, individuals are generally not aware of their own action logic. Most individuals remain in conventional stages of development throughout their lifetimes. In postconventional stages, individuals become aware of and actively redefine their own mental constructs. A significant and perhaps defining difference between conventional and postconventional action logics is that, at the later (i.e., the postconventional) stages, individuals tend to be open to disconfirming feedback from others and welcome opportunities for reflection. At earlier levels, individuals tend to desire confirming feedback and typically do not engage in self-reflection.

The work of developmental theorists, in general, and, in particular, Torbert (2004), has been applied most frequently in for-profit companies. Torbert's work is of particular interest in that it focuses on an individual's development and, at the same time, offers a description of the leadership capacities capable of being exercised at any given stage. He describes development through eight stages or action logics: Opportunist, Diplomat, Expert, Achiever, Individualist (the first postconventional stage, the Individualist stage is also called Redefining in Torbert's later work), Strategist (called Transforming in some of his later work), and Alchemist.

Torbert also developed an instrument to measure an individual's stage of development. His relatively new, commercially-available instrument, the Global Leadership Profile (GLP), is based on two previous assessment instruments (see, for example, Loevinger, 1970; Torbert & Livne-Tarandach, 2009) and used primarily in consulting and coaching for-profit leaders and managers. Chapter 2 documents the historical evolution of the GLP.

Statement of the Problem

Stage theories of development, in general, and Torbert's theory and related instrument, in particular, have been used successfully for a variety of purposes in a number of fields to date. Post-Erickson developmental psychology, however, has not been employed in research about philanthropy, in general, or philanthropic giving, in particular. The same can be said for other more recent stage theories of adult development.

Researchers and nonprofit practitioners, however, have attempted to use other theoretical and research strategies to make sense of human variation in the area of

philanthropic giving (see, for example, Bekkers & Wiepking, 2011; Harbaugh, Mayr, & Burghart, 2007; Ostrower, 1995; Prince & File, 1994). In fact, a number of theories from a variety of academic disciplines have been advanced.

A recent, comprehensive literature review of more than 500 articles across more than ten academic disciplines found eight core mechanisms that drive philanthropic giving: awareness of need, solicitation, costs and benefits of giving, altruism, reputation, psychological benefits, values, and efficacy (Bekkers & Wiepking, 2011). These mechanisms represent distinct categories of motivating factors and, as such, provide a strong framework for future research. However, these mechanisms are independent constructs and do not help us understand the overall perspective—or action logic—of the philanthropist. Additionally, these mechanisms are not designed or, for that matter, equipped to investigate the motivations, behaviors, and attitudes associated with an emerging trend in philanthropic giving often referred to as the new philanthropy.

Broadly speaking, the so-called new philanthropy refers to emerging mindsets and practices of donors including: (1) bringing for-profit business strategies to the nonprofit sector (see, for example, Cobb, 2002, Fenn, 2002, Letts, Ryan, & Grossman; Pepin, 2005; Polak & Warwick, 2013; Wagner, 2002), (2) a focus on measurable results (see, for example, Foundation Center, n.d.; Letts, et al., 1997; Schervish, 2007), and (3) wanting to go beyond checkbook philanthropy by remaining engaged personally with charities after making contributions (see, for example, Bick, 2007; Bishop & Green, 2009; Ostrander, 2007; Pepin, 2005). To a lesser degree, donor exclusivity has also been identified as a practice of the so-called new philanthropy (see, for example, Eikenberry 2007 & 2008). This emerging form of philanthropy is not likely to be explained by the

mechanism identified by Bekkers and Wiepking because it appears to represent not a new reason for giving but an entirely new philosophy or approach to giving. A broader theoretical framework is needed to study philanthropy, in general, and new philanthropy, in particular.

Developmental psychology attempts to explain an individual's action logic as expressed in thoughts and in action. As such, it may have the potential to provide valuable insights into philanthropic giving, including new philanthropy. To date, however, post-Erikson theories have not been employed to explain people's motivations for giving. There is a need, therefore, to study philanthropy through the field of developmental psychology.

Purpose of the Study / Research Questions

The purpose of this study is to explore how, if at all, the developmental level (or action logic) of donors, particularly donors associated with new philanthropy, affects philanthropic giving. This is the first step in a long-term research agenda. The purpose of this first step is (1) to identify the action logics of philanthropists participating in the study, (2) to explore relationships, if any, between a donor's action logic and the donor's philanthropic decisions; and (3) to determine how, if at all, the donor seeks feedback from others and engages in self-reflection regarding his/her philanthropic agenda.

Research Questions and Assumptions

Developmental psychology posits that an individual's stage of development (or, as it will be known from this point forward, action logic) is always in operation, influencing an individual's every thought and action. If this assumption is correct, it can be assumed that action logics influence such philanthropic decisions as when to give,

how much to give, where (or to what organization) to give, what type of recognition or benefit is desired, and whether (and how) to remain involved with an organization. And, if action logics do, in fact, influence philanthropy, it is not clear how such influence might operate. Therefore, the following research questions were used to guide the study:

Research Question #1: What are the action logics of the donors included in the study?

Research Question #2: How, if at all, does a donor's action logic appear to influence philanthropic decisions?

Research Question #3: To what extent does a donor seek feedback and/or engage in self-reflection about his/her philanthropic practices, and does the answer to this question appear to be related to a donor's action logic?

CHAPTER 2:

REVIEW OF THE LITERATURE

Introduction

This chapter will include a review of relevant literature. It will discuss the evolution of developmental psychology, beginning with Erik Erikson (1959), by highlighting key theorists such as Jane Loevinger (Loevinger 1976), Susanne Cook-Greuter (1999), Robert Kegan, (1982, 1994). Special attention will be paid to William Torbert's (2004, 2013; Rooke & Torbert, 2005) theoretical framework and the psychometrics of its accompanying survey instrument, the Global Leadership Profile. After describing these theories in isolation, it will then compare and contrast the work of Robert Kegan and William Torbert, the two theorist whose assessments will be used in this study. The literature review will conclude by discussing the dynamic—as opposed to static—nature of stage development.

During the design of this study, I had intended to also review select portions of the nonprofit literature on philanthropy; however, it became clear very quickly that the quality of the study depended on a solid understanding of developmental theory, not philanthropic giving. As will be discussed in the methodology, my data collection focused on the relationship between the structure of participants' thoughts (i.e., developmental level) and their ensuing actions (i.e., their philanthropy). My analysis focused on how the structure of thought was related to the actions, and I did not analyze the actions themselves. Had I analyzed such content, a review of philanthropic literature would have been necessary. Because I did not, such a review was not warranted. The focus of this literature review, therefore, is on developmental psychology.

Developmental Psychology

Broadly speaking, developmental psychology is concerned with an individual's biological, cognitive, social, and intrapersonal development. Many theorists have created stage-based theories to explain and map individual development. Although there is significant variation among theorists, many, notably Jane Loevinger (Loevinger, 1976, 1998; Hy & Loevinger, 1996; Loevinger & Wessler, 1970), Robert Kegan (1982, 1994), Cook-Greuter (1999), and William Torbert (2004, 2013 Rooke & Torbert, 2005), agree on at least three main points. First, every adult develops in series of sequential stages such that an individual, throughout the course of his/her lifetime, gradually adopts an increasingly complex mental map through which they perceive the world. Second, an individual's developmental stage is made manifest as a type of action logic through which the individual interprets both his/her world and his/her own internal experience. Action logics get translated into attitudes, thoughts and behaviors, but, for most adults, action logics operate outside of the individual's consciousness. Third, there is a distinction between what have been labeled conventional and postconventional stages of development. At the conventional stages, individuals are generally not aware of their own action logic. At postconventional stages, individuals actively reflect upon their thoughts and the process of thinking. Most individuals remain in conventional stages of development throughout their lifetimes.

Erik Erikson's Psychosocial Stages. Erik Erikson (1959), a pioneer in the field, was one of the first theorists to integrate the biological, cognitive, and social aspects of development. His eight-stage theory of psychosocial development is widely known and has been utilized in research on prosocial behavior (see, for example, de St. Aubin,

McAdams, & Kim, 2004; Jones & McAdams, 2013; McAdams & de S. Aubin, 1998). Erikson characterizes each of the eight stages he identifies using dialectics, or core psychosocial conflicts to which individuals seek healthy resolution. The stages are as follows: trust versus mistrust, autonomy versus shame and doubt, initiative versus guilt, industry versus inferiority, identity versus role confusion, intimacy versus isolation, generativity versus stagnation, and ego integrity versus despair. Erikson contends that an individual evolves through these stages during his/her lifetime. He found that healthy resolution at each stage influences resolution at the next stage; however, there is no guarantee of finding a healthy resolution at each stage. Individuals often carry into a new stage the effects of underdevelopment from previous stages. For example, failure to obtain balance at the trust versus mistrust stage could, theoretically, at least, leave one with either a lack or overabundance of trust later in life.

Jane Loevinger. Loevinger, a protégée of Erikson, articulated in the 1960's and 1970's what is now considered a seminal theory of ego development. She united Erikson's (1959) psychosocial development with Jean Piaget's (1928) cognitive developmental theory to build a more comprehensive developmental map. Loevinger's theory suggests that ego development is a lifelong process of finding "unity and coherence in one's personality" (Robinson, 2013, p. 177). This is achieved through increasing mastery and integration of one's impulse, temperament, cognition, traits, goals, and roles (Loevinger, 1976). At ensuing levels of development, which are described in Table 1, an individual experiences increasing freedom with respect to physical impulses, social conventions, and internal conflict.

Table 1

Loevinger's ego development stages

Stage	Age Norm (if any)	Description of Stage	Freedom
Presocial	Baby	Experiences interconnection between self and caregiver	
Impulsive	Toddler	Is driven by physical impulses; has little self-control	
Self-protective	Young child	Shows impulse-control; begins to experience opportunism, volition, and ability to manipulate; seeks to deflect blame onto others	Develops freedom from impulses
Conformist	Older child and adolescent	Is self-centered and driven to maintain relationships; desires to experience sense of belonging	
Self-aware	No age norm	Practices self-reflection and self-criticism; has greater interest in interpersonal relationships	Develops freedom from social convention
Conscientious	No age norm	Increases self-criticism and self-evaluation; looks critically at how one's thoughts are or are not consistent with behavior; develops ideals and long-term goals	
Individualistic	No age norm	Demonstrates self-understanding; understands how autonomy can conflict with intimacy; learns that successful resolution is not absolute but a life-long process	
Autonomous	No age norm	Realizes sense of autonomy; values social groups and collectives; understands and accepts tension between individual freedom and norms necessary for social cohesion	Develops freedom from internal conflict
Integrated	No age norm	Integrates all aspects of identity, wisdom, emotional and psychological balance	

Source: Adapted from Loevinger, 1976; Loevinger & Wessler, 1970; Hy & Loevinger, 1996; Robinson, 2013

Loevinger constructed a survey instrument to test an individual's level of development. This instrument, the Washington University Sentence Completion Test

(WUSCT), is the basis for the Global Leadership Profile (GLP) which will be used in this study. The WUSCT and its psychometric properties will be described in greater detail later in this section. For now, it is important to mention that this instrument has been used in hundreds of studies (Cohn, 1991; Manners & Durkin, 2001), including a 2013 study by Angela Pfaffenberger.

Pfaffenberger (2013) interviewed 28 participants; 22 scored at postconventional stages (Loevinger's Individualistic through Unitive stages) and six scored at conventional stages. Those who the instrument suggested were at a conventional stage became the control group in Pfaffenberger's study.

Pfaffenberger (2013) sought to determine what, if anything, contributed to the development of postconventional personalities. Pfaffenberger made three key observations: First, individuals at late levels of development told significantly more complex stories about their personal development. These stories were highly detailed and nuanced, demonstrating comfort with and acceptance of the complexities and ambiguities of life. The stories from the control group were less detailed and sophisticated, indicating a more linear view of personal development. Second, participants at late levels showed higher concern for developing their inner experience, determining their personal moral compass (independent of society norms), and approaching and adapting to external obstacles. In contrast, participants scoring at conventional levels were, according to Pfaffenberger, apparently either not concerned with or reluctant to discuss their internal development. Finally, participants scoring at postconventional levels demonstrated a commitment to personal growth and ideals even when that development involved discomfort or leaving behind the conventions of the broader culture. Many participants

joined like-minded communities, adopted personal theories of growth, and adopted practices such as meditation to support their growth. Such practices were not evidenced in the control group.

Pfaffenberger's research is important to discuss in some detail as it lays groundwork for my study. Both of our methodologies, for example, include case studies combined with a survey instrument designed to measure participants' developmental levels. Additionally, this study's findings, which will be presented in subsequent chapters, are consistent with her findings.

Robert Kegan's Orders of Consciousness. Kegan, another leading developmental scholar, built upon work by Loevinger and Erikson. He identified five developmental stages or "Orders of Consciousness," each of which describes how individuals at the particular developmental level organize their mental maps. Table 2 outlines Kegan's Orders of Consciousness.

Table 2

Kegan's Orders of Consciousness

Order	Age Norm (if any)	Subject	Object	Cognitive Capacity
1st - Impulsive Mind	Young child	Impulse, fantasy, perception	Movement, sensation	Concrete
2nd – Instrumental Mind	Adolescent	Self-concept, needs, preferences	Fantasy, impulse, perception	Relationships between concrete concepts
3rd – Socialized Mind	Young to mid-adulthood	Abstractions, mutuality, subjectivity	Self-concept, needs, preferences	Abstract
4th – Self-Authored Mind	No age norm	Ideology, multiple roles, self-authorship	Abstractions, mutuality, subjectivity	Relating between abstract concepts, systems thinking
5th – Self-Transforming Mind	No age norm	Paradox contradiction, oppositeness,	Abstract system ideology, self-authorship, self-	Trans-system thinking

Order	Age Norm (if any)	Subject	Object	Cognitive Capacity
		interpenetration of selves	regulation, self- formation	

Source: Adapted from Kegan, 1982 & 1994

Kegan's steps are progressive, and, collectively they suggest that an individual's development is a function of increasing cognitive complexity and a heightened objectivity in one's relationship to the external and internal worlds. Kegan notes that, for most stages of development, this mental ordering happens without conscious, self-reflective effort (Kegan, 1982, 1994).

The orders, in fact, operate much like Kuhn (1996) suggested paradigms operate within scientific communities: One can only see a paradigm after it has been conceptually transcended. Kegan (1982, 1994) refers to one's current paradigm as "subject." Individuals hold as subject that upon which they are unable to reflect. They also hold as "object" that upon which they have sufficient distance as to be able to reflect. As individuals pass through stages, what was subject at one stage becomes object at the next. For example, a child often engages in playground fantasy games, becoming so absorbed in "being" a superhero, that he would wear a cape everywhere, even to the grocery store. The child will likely be able to articulate his enjoyment but not be able to express why he is so engaged in such play. "Because it's fun," might be the most insightful comment of self-reflection. The child, Kegan would argue, is subject to his/her fantasy.

Like the child donning a superhero cape, all individuals have thought processes upon which they are not yet able to reflect. For example, Kegan (1994) suggests considering the experience of an adolescent. If an adolescent wishes to stay at a party past curfew, it is likely that he or she is concerned about getting into trouble and not how his

or her parents might feel, i.e., anxious or concerned. Indeed, the adolescent mind—what Kegan terms the Instrumental Mind—is concerned with his or her own wishes and does not spontaneously take into consideration the perspectives of others. The adolescent is subject to his or her own wishes and unable to reflect upon them, particularly in the context of how his or her desires affect relationships. In early adulthood however, an individual learns to account for the perspectives of others. This is the third order of consciousness or the Socialized Mind, and it includes the capacity to reflect upon, assess, and manage one's personal identity, and, when appropriate, compromise personal needs to account for the perspectives of others. The young adult with a Socialized Mind holds relationships (or, in some cases, schools of thought) as subject and uses these to determine how to think and behave.

In the next, fourth order of consciousness—the Self-Authoring Mind—individuals take a broader perspective of relationships that allows for the navigation of multiple and sometimes conflicting roles (Kegan, 1982, 1994). Instead of having values, individuals develop values about values. For example, a mother is fighting with her teenage daughter over the household curfew rule. At the third order of consciousness, which values relationships, the mother may be distraught over fighting with her daughter. Fighting would be perceived as damaging to the relationship. At the fourth order of consciousness, which values institutions and roles, the mother is comfortable with the argument: The argument and the mother's strong stance on the curfew rule is in the best interest of the child. Fighting preserves the individual roles of mother and daughter and, in turn, preserves the relationship.

This fourth order of consciousness is appropriately called the Self-Authoring Mind, and represents the first place in development where individuals can develop and articulate their own self-generated opinion about themselves and the world around them. This order represents a tremendous advance over previous orders and is characterized primarily by self-responsibility. It has been noted that “self-authoring individuals take internal and external responsibility for their thinking, feeling, and acting. In addition to seeing themselves as the creator of feelings, they can internally reflect on and hold conflicting or contradictory feelings” (Boes, Magolda, & Buckley, 2010, p. 4). Such individuals measure themselves against their own internal moral compass. At the same time, such individuals understand and respect, even if they disagree with, the norms of society.

During Kegan’s (1982, 1994) final order of consciousness, the Self-Transforming Mind, individuals become capable of what developmental theorists have described as holistic meaning making. One way to understand it is to compare it to the fourth order. A fourth order individual has, after much developmental work, come to a conclusion about how he/she sees the world and what his/her goals are within the world. In comparison, the fifth order individual reflects upon the aforementioned goals, questions the assumptions underlying the fourth order thought process, and, eventually, recognizes that all frames have their limitations.

A person in the Self-Transforming Mind has become comfortable with the paradoxes and ambiguities inherent in life. There is a sense of simultaneous connection and differentiation between self and other which, Kegan argues, allows for deep intimacy. As with Loevinger’s theory of ego development, Kegan argues that the latest

stages of development offer an increasing freedom from internal conflict. This freedom comes not from the resolution of conflicts but from the acceptance of paradox as inevitable. As with other theorists, Kegan's work has demonstrated that relatively few individuals—approximately less than five percent of the population—operates out of the fifth order of consciousness (1994).

Kegan's Subject-Object Interview. As an extension of theoretical research, Kegan and his associates developed an interview technique—the Subject-Object Interview (SOI)—to assess an individual's developmental level. The procedures for the SOI were documented in the manual *A Guide to the Subject-Object Interview: It's Administration and Interpretation* (Lahey, Souvaine, Kegan, Goldman, Felix, 2011) and will be described in Chapter 3.

There are benefits and drawbacks to using an interview approach to testing for developmental levels. The most glaring challenges include the limitations of the interviewer's own developmental understanding—against which careful training can only guard so much—and the interviewer's skill in administering the interview, including the ability to develop rapport and ask sufficient probing questions. "Official" SOIs are required to have at least two trained scorers review each transcript, thereby mitigating these limitations as much as possible. One benefit of an interview assessment—as compared to a sentence completion test which will be discussed later in this literature review—is that, if done correctly, a skilled interviewer will be able to probe for both the highest possible level of meaning making and the extent to which the individual is, or is not, actually capable of acting on that level. In fact, Cook-Greuter (2003) has written that

“the interview acts as a scaffolded psychodynamic intervention. . . [the] client shows [his or her] highest meaning making under support conditions” (p. 1).

Historically the results of the SOI assessment were not shared with interviewees; however, according to SOI trainer Deborah Helsing both she and other researchers are increasingly offering interviewees the opportunity to receive feedback (personal communication, March 17, 2014).

William Torbert’s Action Logics. William Torbert (2004, 2013; Rooke & Torbert, 2005), a contemporary of Kegan and Cook-Greuter, offers yet another perspective, and it is this perspective that will be used to frame this study. Torbert argues that seven action logics scaffold human development through what he and David Rooke call the “seven transformations of leadership”: the Opportunist, the Diplomat, the Expert, the Achiever, the Individualist, the Strategist, and the Alchemist. Each action logic, as outlined in Table 3

Torbert’s Action Logics, represents a complete transformation in the perspective with which an individual views the world. Each level shapes the individual’s behavior and action in ways that, like Kuhn’s (1996) paradigms, are often outside of conscious awareness.

Table 3

Torbert’s Action Logics

Action Logic	Description	Percentage of Population* Sampled
Opportunist	Self-focused, manipulative, wants to win at any cost	5%
Diplomat	Focused on group norms, avoids conflict	12%
Expert	Uses logic and rational approaches to improve efficiency or maximize outcome	38%

Action Logic	Description	Percentage of Population* Sampled
Achiever	Focused on team-oriented goals such as a company's business objective	30%
Individualist	Begins to redefine role by interweaving personal development and group development to increase performance	10%
Strategist	Focused on personal and organizational transformation in both short- and long-term	4%
Alchemist	Facilitates transformation on multiple levels: material, spiritual, and in the broader society	1%

Source: Adapted from Rooke & Torbert, 2005

**The sample population referenced in the article consisted of 4,310 managers and leaders in American and European for-profit companies, government agencies, and nonprofit organizations (personal communication, January, 23, 2014).*

Torbert's (2004, & 2013; Rooke & Torbert, 2005) theory posits that an individual's progression through action logics is generally linear. For example, many individuals start as Opportunists. They are self-focused, manipulative and so intent on reaping personal rewards that they undermine their ability to forge meaningful relationships. Unlike the Opportunist, the Diplomat, is other-focused, desiring harmony in personal relationships. The Diplomat repairs any interpersonal conflict created by the Opportunist; however, the Diplomat shies away from direct confrontation. The Diplomat eventually learns that smoothing over conflict without addressing core issues can often create more conflict.

The Expert, as the name suggests, considers him/herself to have attained such mastery in a field that he will not allow his skills or knowledge to be challenged or criticized by others. Eventually, the Expert is forced to realize that a broader body of knowledge is needed to continue to be successful and, thus, may transition to the Achiever mode. The Achiever draws upon his own and others' expertise to meet team-

oriented strategic goals. Eventually, external rewards lose their luster, prompting the Achiever to look inward as the Individualist-mindset takes hold. In the Individualist stage, which Torbert would consider the bridge from conventional to postconventional development, a person redefines his/her role in relationship to the external world. The person recognizes for the first time that others have different action logics and learns to work simultaneously towards his/her personal development and the team's strategic goals. The Individualist can, potentially, develop into the Strategist, capable of generating large scale organizational transformations or, ultimately, the Alchemist capable of generating social transformations. Presumably, philanthropists, particularly new philanthropists, would be interested in the generation of postconventional transformations.

The Strategist, Rooke and Torbert (2005) contend, is “adept at creating shared visions across different action logics—visions that encourage both personal and organizational transformations” (p.5.) However, only four percent of the thousands of leaders surveyed scored as Strategists and only one percent scored as Alchemists (Rooke & Torbert, 2005). Individuals identified as Strategists or Alchemists are increasingly and simultaneously self-aware and other-aware. They view environments from a systemic perspective and, at the same time, acknowledge the shortcomings of their own and others' perspectives. In short, they can identify and remain cognizant of multiple levels and multiple perspectives simultaneously.

Torbert has developed a survey instrument, the Global Leadership Profile (GLP), to assess an individual's action logic at the point in time that the instrument is

administered. Since this instrument will be used in my study, what follows is a description of the history and psychometric properties of the GLP.

The historical lineage of the Global Leadership Profile. This section begins with a word of caution. Developed in 2010, the GLP is a relatively new instrument whose psychometric properties have not been extensively explored. It was largely based on two preexisting tests that have been judged to be psychometrically sound: the Washington University Sentence Completion Test (WUSCT) and the Leadership Development Profile (LDP). Given its historical lineage and, specifically, the duplication of many questions from both the LDP and WUSCT, it is worthwhile both to understand the genesis and evolution of the instrument and to look at the psychometric properties of the two related instruments, the LDP and WUSCT. To the extent that the GLP mimics, to a large degree, the WUSCT and the LDP, the GLP may also be assumed to be psychometrically sound. The present study will also, to a small degree, offer a critique of the GLP instrument.

The WUSCT was developed in the 1960s and first published in 1970 by Jane Loevinger (Loevinger & Wessler, 1970). It is the first of what might be called “the family of tests” that includes both the LDP and the GLP, both developed primarily by Torbert (2004, & 2013). The WUSCT consists of 36 open-ended sentence stems designed to test a participant’s level of ego development (Manners & Durkin, 2001). Sentence stem tests are especially well-suited for assessing ego development as test-takers must project their cognitive mapping as they complete the sentences. Indeed, Loevinger (Loevinger & Wessler, 1970) argued that “only a projective technique, a technique that requires the subject to project his own frame of reference, will suffice to measure ego development” (p. 8). Cook-Greuter (1999), a trained linguist, points out that “Language is arguably the

chief means by which we create such conceptual maps of reality” (p. 12). Written responses to open-ended sentence stems reflect a “subject’s reasoning and thinking processes and ways of relating to others” (Torbert, 2004, p. 211). Such responses provide rich data interpreted by highly trained individuals working with a thorough scoring manual.

The sentence stem completion methodology is not without its flaws. First, as Loevinger (Loevinger & Wessler, 1970) wrote, “No bit of behavior can be, or can assumed to be, more than probabilistically related to ego level” (p. 9). Many “bits” of data are needed to form an accurate assessment and, given the evolutionary nature of development, the ensuing assessment should be assumed to be probable rather than conclusive. Second, participants may exhibit evidence of more than one level at the same time. For example, a participant may answer one sentence stem at a Diplomat level and another at an Expert level. To account for this, Loevinger developed an algorithm based on the ogive, or cumulative frequency, of all sentence stem scores to compute the final score. Third, participants are also developing across multiple lines including physical, cognitive, intrapersonal, interpersonal, and spiritual lines. Age also plays a factor. To some extent, the lines of development are naturally weeded out through the scoring manual associated with the WUSCT instrument. For example, Manners & Durkin (2001) report that multiple independent tests for discriminate validity have demonstrated that the WUSCT tests for ego development, not the likely covariants verbal fluency, intelligence, socio-economic status. This indicates that the intellectual or cognitive line development, which is related to but not the same as ego development, is not measured by the WUSCT. Regardless, Loevinger (Loevinger & Wessler, 1970) recognized that development is

complex at best and admits that “There is a thus a confounding of variance that no amount of data will resolve into its component sources” (p. 9). With this statement, she acknowledged that, at times, empirical methods fall short and theory must suffice.

Research on the WUSCT suggests it is very difficult to fake sentence completion tests of ego development, even when the participant is familiar with the theories under investigation (Redmore, 1976). A series of five test-retest experiments were conducted with a combined n of 234 participants ranging in ages from 17 to 40. All participants were enrolled in either a university or hospital staff seminar course related to psychology or psychiatry. In three of experiments participants had at least some knowledge of the theory and in two experiments “naïve” participants were used. Participants were asked to generate a higher or lower score on the retest. Researchers concluded that “persons can lower and cannot raise ego level scores substantially” (p. 615). This was true except in cases where the participant had “intensive knowledge of ego level” (p.614), and, in such cases, researchers wondered if such a change might be real, not artificial. Redmore also found that trying to increase one’s score (or “fake” the test) actually lowered scores for individuals who were operating at higher developmental levels. Developmental theory in general would support Redmore’s findings. Loevinger (Loevinger & Wessler, 1970), Cook-Greuter (1999), and Torbert (2004, 2013; Rooke & Torbert, 2005) all suggest that individuals have the ability to fallback (or utilize) earlier logics but not the ability to consistently present evidence of an action logic later than their own. Kegan (1982, 1994) would agree with the suggestion that individuals cannot, for any length of time, psychologically support an action logic later than their own. Instead, he would suggest that all information will be processed at the level of the current logic or consciousness.

The LDP, developed in 1980, replicated the WUSCT except for the addition of four work-related sentence stems (in place of four Loevinger stems that were, in Torbert’s judgment, inappropriate for adult, professional research participants) (Torbert, 2004). Susanne Cook-Greuter, a Loevinger-certified scorer at the time and, today, a well-respected, Harvard-trained, developmental theorist and methodologist, was the initial lead scorer for the LDP. Torbert and Cook-Greuter eventually partnered with the UK-based Harthill consulting in the 1990s to make the LDP commercially available, with Cook-Greuter training two additional scorers who attained high inter-rater reliability. In 2005 Cook-Greuter separated from the Harthill consulting team and developed her own instrument, the Mature Adult Profile or MAP. The MAP was mostly based on Loevinger’s sentence stems, and, much as the LDP had been, and, consequently, Cook-Greuter claimed the instrument produced reliable and valid results, just as the other instruments supposedly had produced. Torbert, along with two additional trained scorers, continuing to work with Harthill. In 2010, Torbert also left Harthill, developing the GLP, the instrument used in this study, and continuing to work with the two lead scorers. The GLP was adapted from the LDP with slight modifications as will be described shortly. Table 4 illustrates the relationships between the three instruments.

Table 4

The family of instruments: WUSCT, LDP, and GLP

	WUSCT	LDP	GLP
When Developed	Developed in 1970s	Developed in 1980s	Developed in 2010
Key Developers	Jane Loevinger	Susan Cook-Greuter, William Torbert	William Torbert, 28 member action research team
Key Changes	Original test. 36 sentence stems	Based on WUSCT replacing four	Based on LDP but six of sentence stems were altered

	WUSCT	LDP	GLP
		questions with work-related stems	
Availability	Scoring manuals are available for self-training	Available commercially through Harthill Consulting	Available commercially through Action Inquiry Associates

Source: Loevinger & Wessler, 1970; Hy & Loevinger, 1996; Cook-Greuter, 1999; Livne-Tarandach & Torbert, 2009; Torbert, 2014

The psychometric properties of the various instruments. Given the historical relationship between the GLP, LDP, and WUSCT and, in particular, the fact that the GLP includes a significant number of the sentence stems found in the previous two tests, it makes sense to include a discussion about the psychometric properties of all three tests. Both the WUSCT and the LDB have been psychometrically scrutinized by the respective developers (see, for example, Loevinger, 1970 and Torbert and Livne-Tarandach, 2009). Both the WUSCT, to a large degree, and LDP, to a lesser degree, have also been tested and critiqued by independent researchers. While these psychometric properties may or may not translate directly to the GLP, they do indicate the potential strength of the relatively new instrument.

Washington University Sentence Completion Test (WUSCT). The WUSCT was developed in the 1970s by pioneering developmental theorist Jane Loevinger using her theoretical framework described earlier in this literature review. The instrument signaled an important milestone in empirical testing for post-Erikson developmental psychology.

The WUSCT is still in use today and has been tested for utility and validity (see, for example, Cohn, 1991; Manners & Durkin, 2001; Pfaffenberger, 2013; & Ravinder, 1986). In the first few decades of its existence, the instrument was used in several hundred studies, administered to diverse populations, and translated into at least 11

languages (Carlson & Westenberg, 1998). Because of its widespread use, results from the WUSCT have been utilized in meta-analyses such as Cohn's (1991) meta-analysis of sex differences in personality development and Cohn and Westenberg's (2004) meta-analysis of the ego and intelligent measures. A well-known, 2001 critical review of the instrument indicates substantial support for the validity of both Loevinger's developmental theory and the WUSCT instrument. Specifically, support was found for the instrument's construct validity, and the validity of Loevinger's theories of the unitary conception of the ego, the sequential developmental stages, and the ego as integration of diverse personality characteristics (Manners & Durkin, 2001). The same critical review raised two issues. First, in independent studies, ego development was found to be a part of the overall process of, not, as Loevinger argued, the underlying factor of character development, cognitive style, interpersonal style, and conscious concerns. Second, the review found evidence of reversibility in ego stage transition or, in other words, developmental fallback. While both concerns are important to recognize, neither significantly calls into question the overall validity of the instrument in measuring ego development.

Though widely used and an important contribution to developmental testing, the WUSCT is problematic for the purposes of this study in that it was originally developed for adolescent girls and contains no sentence stems relating to one's professional life. And, as Cook-Grueter (1999) demonstrated and Pfaffenberger (2013) later corroborated, the WUSCT scoring manual does not reliably conceptualize or measure later action logics. Indeed, Cook-Grueter (1999) reported that, through personal conversations, Loevinger actively discouraged attempts to develop or pursue work related to the later

stages. Some of these challenges were addressed in the development of the LDP and, eventually, GLP.

The Leadership Development Profile (LDP). The LDP instrument is based largely on the WUSCT. The LDP was developed by Torbert, with support from his then research associate Cook-Greuter (now a world-renowned theorist in her own right). Eventually, the LDP was made commercially available through Harthill, a United Kingdom-based consulting company. The action logics (described previously in detail) tested by the LDP build upon work of Loevinger (Loevinger & Wessler, 1970) and are closely related to the work of other well-known theorists including Alexander (Alexander and Langer, 1990), Kegan, (1982, 1994), Kohlberg (1984), and Wilber (2000), all contemporaries of Torbert. The LDP and its theoretical framework have been used extensively in business and in the field of organizational development.

Like its predecessor, the LDP consists entirely of open-ended sentence stems. The majority of WUSCT stems are replicated in the LDP. The major change between the WUSCT and LDP was the addition four work-related stems, replacing original stems. The new, work related stems included lines such as, “When a person steps out of line at work. . .” (Torbert, 2004, p. 210). It should be noted here that Loevinger, herself, argued in favor of substituting sentence stems if necessary. In the original scoring manual for the WUSCT, Loevinger (Loevinger & Wessler, 1970) indicated that once a scorer had mastered the ability to score accurately, researchers could safely interchange a small number of sentence stems as needed without compromising the overall test. The original test was developed for women and girls. She and other researchers found it necessary to

adjust several stems for use specifically with men and boys and, upon doing so, found the raters' original training sufficient.

Our experience indicates that with mastery of the present thirty-six item form there is substantial transfer to new items. In particular, raters trained on the present form for women and girls appear to do as well as with a similar but not identical form for men and boys; however in our work only raters with considerable experience on the basic training exercises have attempted to rate male protocols (Loevinger & Wessler, 1970, p. 111).

The transfer of rating skills may surprise the careful reader as it is not necessarily true for most other types of tests. Such transferability is likely linked to the unique nature of ego development tests. Ego development tests do not analyze the content of the answers, as is typically the case with survey analysis, but, instead, focus on the construction of the participant's perspective as evidenced in the sentence completions. Two survey-takers could both write about relationships (content) but do so from a very different ego development levels. For example, one respondent may indicate a desire to come home promptly after work so as to "avoid getting into trouble" with his spouse. Another respondent might indicate a need to come home directly after work so as to not make his spouse worry. Both answers are concerned about the relationship between the respondent and his spouse. The first answer is concerned about self-protection (not getting to trouble) and the second is concerned with relationship preservation (not making the other worry). Scorers learn to recognize the underlying mental construction rather than the content of the stem, making it possible to transfer rating skills to new sentence stems.

Researchers used measures of internal consistency, such as Cronbach's alpha, to measure the test overall and the effectiveness of new stems in particular. In the case of the LDP, when the gender-based stems (i.e. "A good mother. . .") were replaced with work-related stems (i.e. "A person who steps out of line at work. . ."), researchers found that "the responses to the new stems correlate better with an individual's overall profile rating than the responses to the former stems did" (Torbert & Livne-Tarandach, 2009). An analysis of 891 distinct LDP profiles from 2005-2008 generated a Cronbach's alpha of .906. The correlation between the new stems and the final scores ranged from .86 to .89 (Torbert & Livne-Tarandach, 2009).

Another change was the improvement in scoring of later action logics. As was previously discussed, Loevinger's instrument did not sufficiently measure the later action logics. This conclusion was reached by Cook-Greuter after years of research and, eventually, demonstrated in her 1999 Harvard Dissertation—chaired by Kegan, Tivnan, and Torbert—which has become a seminal piece of literature. In this dissertation, Cook-Greuter illustrates the ways in which Loevinger "frames her reality assuming that (a) a permanent objective reality can be found and (b) that finding one is a desirable goal. . . The possibility of questioning the meaning of such a search is not entertained" (Cook-Greuter, 1999, p. 47). Cook-Greuter argues that, in part as the result of Loevinger's own developmental limitation, the WUSCT did not accurately assess the later action logics. Cook-Greuter demonstrates, through analysis of more than 4,400 sentence completion tests scored over seventeen years, that there are, indeed, other ways of framing reality beyond Loevinger's conceptualization of later-stages. In particular, Cook-Greuter illustrates that at later stages adults realize, "self-identity is always and only a temporary

construct” (p. 63) and that “learning and knowing more about themselves and about reality in a rational mode does not always lead to greater insight and wisdom for themselves” (p. 62). Cook-Greuter’s dissertation, which has become a seminal piece of literature, (a) compared her analysis of the late-stage action logic data gathered from 4,400 tests against the work of other major theorists, including Kegan, to analyze similarities and differences in how theorists conceptualized the later stages of development, (b) created a scoring manual for the later action logics, (c) tested the effectiveness of the scoring manual. Both the LDP and, eventually, the GLP, use Loevinger’s manual to score the lower action logics and Cook-Greuter’s manual to score the later action logics.

In addition to the aforementioned changes, several additional, changes were made when the LDP was developed from the WUSCT. First, the administrators of the LDP offer test-takers the opportunity to receive feedback on the results. The WUSCT is primarily used by researchers and clinicians; the results of the thousands of tests administered have populated academic articles but were rarely returned to the actual participants for review. The LDP was made commercially available, shifting the target audience away from researchers and towards the participants. The LPD allowed participants to receive their individual test scores and, if they so desired and if they were willing to pay, be coached in areas in which they would like to improve. Despite the obvious benefit of allowing participants to access their own scores, there has been some critique to this approach. Pfaffenberger (2011) suggested that the fee-based training program offered by Harthill to become a certified LDP scorer is likely unnecessary and

that Harthill consultants, “are not motivated by having people become scorers without deriving profits” (p. 19).

The current administration of LDP offers insights into the developmental theory. Developmental theory, in general, and Torbert’s theory, in particular (Torbert, 2004, 2013; Rooke & Torbert, 2005), suggest that it is only at later levels of development people actively seek feedback. When an early piece of LDP research offered 281 test-takers the opportunity to receive feedback, those at later action-logics were increasingly more likely to accept such feedback. This result was consistent with the theorists’ hypothesis and offering an important growth opportunity for interested test-takers (Torbert, 2004).

Second, the LDP uses “less evaluative terminology” (Torbert, 2004). For example, action logics are described as earlier or later rather than lower or higher. This shift in terminology was an attempt to lessen the effect of hierarchical language and make it easier for a client to receive feedback.

Third, the LDP’s theoretical framework extends beyond Loevinger’s in that it acknowledges what has been called “postcognitive” development, or the ability to listen to multiple territories of existence simultaneously (Torbert, 2004, p. 213). The four territories are (1) outside events, including observed behavior, (2) one’s own sensed performance, or how an individual thinks he/she is acting (3) action-logics, and (4) intentional attention.

Considerable psychometric data have been generated about the LDP by the developers. The reliability and validity of sentence completion measures rated by the two LDP scorers have most recently been substantiated in a series of studies reported by

Torbert and Livne-Tarandach (2009). For example, an inter-rater reliability test was conducted on the final scores for 805 distinct profiles (with potentially 13 levels of scoring ranging from Expert through Alchemist and three possible levels at each action logic [e.g., Early Achiever, Achiever, Late Achiever]). Two raters achieved a .961 Pearson correlation with perfect matches 72 percent of the time and agreement within one part-stage 22 percent of the time (Torbert & Livne-Tarandach, 2009). This type of interrater reliability testing not only permits psychometric analysis but, as it is conducted prior to delivery of the results to the client, also improves the quality of feedback provided to test-takers.

In another study (Torbert & Livne-Tarandach, 2009), a cluster analysis test was designed to test construct validity and to determine what, if any, statistical differences exist in responses from persons of conventional and postconventional action logics. In this case, 891 profiles of 36 sentence stems each were analyzed: 830 profiles had been rated at conventional stages and 61 at post-Conventional stages. A cluster analysis demonstrates that the sentence stems of profiles testing at the conventional stages loaded on eight distinct factors,¹ each related to distinct sentences stems. In other words, responses from conventional participants were statistically conventional; stems tended to load on single, common clusters. The postconventional results were remarkably different. Fifty-two percent of sentence stems loaded on two or more factors. Torbert suggests that this result is reflective of a multi-dimensional, systems-oriented mental map associated with later developmental action-logics. He likens it to, “Plato’s two distinctive images for

¹ Torbert indicated that he and his co-researcher deliberately did not name the factors. Their intent was to describe rather than define the nature of the thought patterns (personal communication, January 23, 2014).

the nature of thought in the Theaetetus – as either ‘marks on a wax tablet’ of the mind, or ‘birds flying about in an aviary’ of the mind” (p. 146).

The external validity of the action logics measured by the LDP was also tested repeatedly during the 1980s and 1990s, most notably in a 1998 longitudinal, retrospective study of 10 organizations for which the researchers had acted as consultants. Five CEOs measuring at the late Strategist stage of development succeeded in supporting at least 15 organizational transformations. No such transformations were supported by the five CEOs measuring at pre-Strategies stages (Rooke & Torbert, 1998). Though the study’s n was quite small and, as such, not as statistically robust as one might like, this study at least suggests there may indeed be a relationship between a leader’s action logic, as measured by the LDP, and their job performance as it relates to organizational transformation. A later, more exhaustive review of possible threats to internal and external validity of this same study found it completely robust in this regard (Torbert, 2013). This later review was based on Cook and Campbell’s (1979) concept of internal and external validity.

The reader will note that much of the testing of the LPD has been done by the developer of the instrument. From an academic perspective, this certainly invites an extremely cautious interpretation of the results. This may also be understood in light of academia’s ongoing theory/practice debate. As was described earlier, the WUSCT scoring manual is publically available; any researcher may train his/herself to administer the test. As a result, the test has obtained widespread usage and has been psychometrically validated by numerous independent studies. These results, as was previously described, populate academic journals. The LDP and, eventually, the GLP are

commercially available tests. The target audience is not academic researchers and clinicians but real-world practitioners on the path to personal/professional growth. The commercial availability of the tests, and, subsequently, the lack of a publicly-available scoring manual, diminishes the likelihood independent researchers will test either the LDP or GLP. However, commercial-availability does offer the benefit of real-world application not typically available through the WUSCT. The developer-led research on the LDP and GLP could be considered a form of self-promoting and, again, should be interpreted cautiously; however, it may also be considered as a form of self-regulating and a commitment to professional standards of excellence.

The LDP is currently administered through Harthill Consulting (www.harthill.co.uk). Though it is the basis for the GLP, the LDP was not selected for the purposes of this study. The LDP as it is currently administered is problematic for two key reasons. First, Harthill has lost its key research principals Cook-Greuter and Torbert. Second, there does not appear to be any ongoing research on the instrument's validity and reliability since losing the second principal in 2010.

The Global Leadership Profile (GLP). The GLP was developed in 2010 and is currently administered by Torbert and a 28-member action research team. It is nearly identical to the LDP except that six of the sentence stems have been slightly altered (e.g., "A good boss..." became "A good leader..."). The administration of the new instrument, including a new, team-based approach to administration and scoring, engages in ongoing testing for reliability and validity. At least two of the scorers, including Torbert and Elaine Herdman-Baker, were previously part of the LDP scoring team.

As a new instrument, the GLP has not yet been psychometrically tested; however, there are several reasons why the GLP appears to be a solid measure, not the least of which is the continuation of William Torbert, the primary developer of the LDP. These other reasons are less psychometrically robust, but, nevertheless, suggest a high level of integrity among profilers and potential utility for test-takers. First, all clients are invited to complete a self-assessment before receiving their GLP scores. The clients then discuss the self-assessment with researchers in comparison to GLP scores, offering what can be considered a joint exploration of reliability by both researchers and participants. On one hand, researchers may test their assessment of the client's written answers against the client's verbal conversation and, at the same time, participants may test their self-assessment against the researcher's theoretical and practical knowledge. This practice might be considered a form of external validity testing. Torbert has indicated (personal communication, December 6, 2013) that, to date, the vast majority of clients' self-assessments have agreed with researchers' assessments. In cases where disagreement occurs, the client often changes his/her original self-assessment after talking with the researcher. In a few cases, typically when English is the client's second language, the researcher has changed the original assessment. Second, as previously mentioned, scorers are well-trained, and all test scores are reviewed by a senior developmental researcher. This interrater reliability offers an important opportunity both to test and strengthen the quality of scores.

Finally, in 2012 Harvard Business Review included Rooke & Torbert's (2005) "The Seven Transformations of Leadership" in its book *The 10 Must Reads on Leadership*. The Rooke & Torbert article, originally published seven years prior to the

2012 book, offers an overview of the action logic theory developed by Torbert and tested with the GLP. Such a distinction by HBR is not, of course, a psychometrically valid measure of correctness of Torbert's stages or of the instrument designed to measure these stages. It does, however, offer convincing testimony to popular application of this body of work to the business world. It is this application which makes the GLP the most appropriate instrument to use in my current study.

Other Developmental Theorists

This literature review has focused and will continue to focus on the work of William Torbert and Robert Kegan, as influenced by theorists such as Erikson, Loevinger, and Cook-Greuter. These theorists can be considered some of the most influential in the field; however, it must be acknowledged that the ideas of many other scholars have also contributed to the literature. These scholars include Michael Commons, Francis Richards, Kurt Fisher, Lawrence Kohlberg, Clare Graves, Ken Wilber, and others. The pioneering work of Jean Piaget and Sigmund Freud also greatly shaped the field. However, rather than continue to discuss the historical development of the field, this literature review will now turn to several current issues in the literature that are relevant to this study.

Up until this point, this literature review has presented developmental theories as if each were distinct from other theories and as if each stage was experienced as static and separate from other stages. Neither is true. There are myriad similarities—and differences—between developmental theories (for further discussion, see Cook-Greuter, 1999), and the stages described by theorists are a sequential, dynamic, and evolving processes rather than static experiences. In the next section, the reader's attention will be

drawn to a brief comparison of Kegan and Torbert's work and then, finally, to a more nuanced understanding of developmental theory.

Connecting the Dots: Torbert and Kegan

As will be explained in Chapter 3, this study will use two instruments—Kegan's Subject-Object Interview and Torbert's Global Leadership Profile—to assess the developmental levels of participants. Therefore, it is important to examine the similarities and differences between these two theories, specifically how they attend to the relationship between content and structure of thought.

On the one hand, Kegan (1982, 1994) focuses entirely on structure of thought. His theory suggests five orders of consciousness experienced by adults and includes four sub-levels marking the progression from each order of consciousness to the subsequent. Kegan and his colleagues (Lahey, Souvaine, Kegan, Goodman, & Felix, 2011) have argued that "subject-object balances have nothing to do with specific themes, motives, issues of preference" (i.e., content of thought); instead, they are "principles of organization" through which individuals construct meaning (p.8) (i.e., structure of thought). To assess developmental level according to Kegan's theory, the key questions interviewers must ask are: *Why* is the interviewee doing/thinking this? *On behalf of what* (order of consciousness or stage of development)? The focus is on *why*, never on *what* the individual is doing. On the other hand, Torbert's action logic describe both a structure of thought and, also, includes the type of content to which an individual of each logic might be drawn. For example, Torbert (2004) described a person operating out of a Diplomat action logic as someone who is committed to routines, observes protocol, avoids inner and outer conflict, seeks membership and status, and often speaks in favorite phrases

(p.74). In short, to assess developmental level according to Torbert's theory, the questions might be: What is the interviewee doing/thinking, *and* why?

The advantage to Kegan's focus on structure is that it is not distracted by content, which may or may not look similar at different levels. The challenge is that his theory, however remarkable, takes time to fully master, particularly if one wants to become adept at Subject-Object interview assessments. The differences between each sub-stage are subtle and nuanced, easy for a novice to misinterpret. On the other hand, Torbert's inclusion of content makes his theory more accessible to the lay reader. The titles of the stages—Diplomat, Expert, and Achiever, for example—are also easily adaptable to a professional setting. Even from a brief description of each stage, one can easily imagine how these stages would play out in a work environment. In fact, one can likely think of colleagues who fit these descriptions. One challenge of Torbert's theory is that it is easy for novices to focus on content and miss data suggestive of structure. For example, the Individualist's process of reviewing and redefining their thoughts might, to a novice unaccustomed to search for the structure, appear similar to an Alchemist's focus on attention.

Despite their differences, the theories do map easily to each other and, therefore, paired well in this study. Torbert's (2004) Diplomat and Expert stages, for example, are similar to Kegan's (1982, 1994) Socialized Mind stage. In both of these stages, individuals make decisions on behalf of external relationships. Diplomats, on one hand, make decisions on behalf of social relationships. Experts, on the other, make decisions on behalf of an allegiance to their craft, whatever that may be. Either way, each decision-making process is embedded in a single external relationship and is not yet authored by

the individual. Similarly, both the Achiever and the Individualists are consistent with Kegan's Self-Authoring stage in that both are self-authoring. Both are concerned with development of their own self-generated ideas, a Self-Authoring capacity; however, they approach the task differently. For the Achiever, accomplishing their self-defined goals is the primary focus whereas the Individualist is also interested in the postconventional process of reflecting upon and redefining their ideas and their goals. Either way, the focus is on the individual's personal goal.

Finally, the Strategist and Alchemist map to Kegan's Self-Transforming Mind. In both of these stages, the individual is no longer interested in crafting *their* ideas; instead, they are concerned with the ongoing process of reflection itself—a process in which they involve others. The Strategist is able to interweave the long-term developmental processes of others with the pursuit of goals and, in their minds, this developmental process is inseparable from the goals. The Alchemist is even less oriented to goals and, instead, prefers to focus on his or her attention. Both Strategists and Alchemists are interested in an ongoing reflection upon—rather than the defining of—the self. Indeed, they seem to use the self in order to better reflect rather than reflect in order to better the self. These stages are compared in Table 5.

Table 5

A mapping of the theoretical frameworks of Torbert and Kegan

Torbert	Kegan
Alchemist	Self-Transforming Mind
Strategist	
Individualist	Self-Authoring
Achiever	
Expert	Socialized Mind
Diplomat	
Opportunist	Instrumental

Sources: Torbert 2004, & 2013; Rooke & Torbert, 2005; Kegan 1982 & 1994

Development as a Dynamic, Not Static, Process

A simple reading of the descriptions of the aforementioned stages would suggest that each stage is an isolated rung on the ladder of development; however, this reading would be inaccurate. This section will explain that a) stages are not isolated, b) individuals can operate out of multiple developmental levels, and c) there are barriers to progression through the stages.

First, the stages are not isolated rungs on a ladder but, rather, an “ongoing process of evolution” (Lahey, Souvaine, Kegan, Goodman, & Felix, 2011, p. 25). As psychotherapist Mark Forman (2010) describes, “stage development is an incorporative process, whereby the remnants and features of past stages are absorbed into the most recent stage” (p. 59). In the developmental literature this is described as *transcending and including*. Each stage transcends the prior stage by offering a more complex construction of reality and, at the same time, each stage includes the principles of organization available at earlier stages. For example, an individual at the Achiever level might choose to act in a conforming way in order to achieve his or her own goals; in short, the individual accesses the behavior of the Diplomat (i.e., conforming) but does so on behalf of the goals of the Achiever-self.

Second, individuals often present evidence of multiple stages. Specifically, individuals have both a functional and an optimal developmental level.

[An individual’s] optimal level establishes the limits of an individual’s independent capacity for reflective thinking or engagement in other skills with contextual support, while functional level represents the normal level of

functioning the individual has attained through engagement in the activities of everyday life without contextual support (Fischer & Pruyne, 2003, p.170).

The space between an individual's functional and optimal developmental level has been called their developmental range (see, for example, Kitchener, Lynch, Fischer, & Wood, 1993). Additionally, individuals may also have a fallback action logic (Livesay, 2013; Torbert, 2004), or a frame accessed during times of heightened vulnerability or stress. As Fischer and Pruyne (2003) suggest, "individuals show great variation in skill levels in their everyday functioning" (p.170). In theory, individuals typically operate out of their functional level of development; however, they can access their optimal developmental level in supportive contexts which, for example, may include a therapeutic setting, an especially effective work environment, or in conversations with others who are operating at higher levels. As will be suggested in the presentation of findings from this study, philanthropy may be one of those support conditions in which individuals operate out of an optimal action logic.

In addition to having a developmental range which includes a functional and optimal action logic, individuals may be transitioning from one stage to the next. Think, for example, of the four sub-stages between each of Kegan's (1982, 1994) five stages. Each sub-stage represents a different variation of the tension experienced as an individual leaves one stage behind and enters into the next. Throughout each of the four sub-stages, the individual presents evidence of both the prior and the future developmental stages. In the middle of the transition, the individual is literally operating out of two separate minds (i.e., two action logics), and it can feel as if one is talking to two people. This phenomena, too, was evident in this study.

Third, development is a treacherous journey, and many adults do not reach Kegan's (1982, 1994) Self-Authoring stage or Torbert's (2004) Individualist stage. As Forman (2010) suggested, "stages are destinations, but knowing a destination does not tell one very much about the nature or difficulty of the journey" (p. 59). Each new stage "offers more psychological space and less suffering and internal conflict" (p. 60); however, it also requires the individual to give up the safety of the old stage. This often occurs by psychologically and, sometimes, literally, pushing away people that remind the individual of the self they are transitioning away from. For example, toddlers and teenagers both form their own identity by pushing away their parents. Once the new identity is sufficiently formed, the child will stop pushing away the parents and, in healthy parent/child relationships, reestablish the bond. The process of returning to the relationship is the process of recovering the temporary loss of that relationship, a loss which was necessary for the new identity to form. This temporary loss is what Kegan (1982) described as recoverable loss. If this loss is not recovered, the child will likely find themselves repeatedly experiencing similar situations or relationships until they have recovered from the sense of loss. Unrecovered loss is one of the challenges of the developmental journey and, as will become evident in this study, can easily halt the progress of any individual.

In short, the developmental journey is not a static process of moving from one isolated stage to another. Each new stage both transcends and includes the former stage. Additionally, individuals operate out of a developmental range, and can present evidence of multiple stages, including a functional logic, an optimal logic, and a fallback logic. Individuals deep in the process of transition may, in the course of one interview, present

evidence they are operating at both their former and their future stage. Finally, the developmental journey is treacherous; individuals who are unable to recover the temporarily losses required to transition from one stage to the next may find themselves unable to progress until that loss is recovered.

Developmental Theory and Philanthropy

Before proceeding to the discussion of methodology, it is important to remember why we are discussing developmental psychology in relation to philanthropy. Many theorists have demonstrated that most adults never reach the later stages of development. And yet, it may be that many of the complex social problems facing the world today can only be solved by individuals at such stages. In his book *In Over Our Heads, The Mental Demands of Modern Life* Kegan (1994) argues that the complexity of modern life—including the demands parenting, education, intrapersonal work (such as therapy)—require that individuals operate at a more complex mental order than the average individual is capable. As this study will suggest, the complexity of philanthropy—specifically, of attempting to solve multifaceted problems such as poverty, social injustice, and environmental health—may also require that people adopt increasingly complex structures of thought. In a video posted online of a lecture, Kegan (2010) asked,

“What if we are living longer so that we can create more of the order of conscious that may actually save us from the peril in which we live? What if we’re living longer in order to increase the chances that our troubled species can find non-murderous, non-catastrophic, non-annihilative, non-poisoning ways of dealing with the extraordinary dangers of our third order tribal passions and our fourth order prideful sovereignties of thought and state? What if we are living longer in

response to Einstein's challenge that we will never solve the problems tomorrow with the same order of consciousness we are using to create the problems of today? What if we are living longer to find, in Gandhi's words, a way out of hell?"

While I do not agree that humans are living longer for the purpose of reaching higher stages of development, these later stages are certainly more likely to emerge as humans live longer. As findings from this study indicate, these stages of development influence how people approach the sorts of complex social issues people typically address through philanthropy. However, as authors Hart, Southerland, and Atkins (2003) pointed out in the *Handbook of Adult Development*, very little research has explored the relationship between one's developmental and one's philanthropy. Furthermore, what research has been done has focused on earlier theorists such as Erikson (1959) and not yet incorporated in insights of contemporary developmental theorists. These scholars argue, and I agree, that such research is an important area for future research.

Literature Review Conclusions

This review has illustrated the types of advantages the field of developmental psychology may offer to the study of philanthropic giving. Specifically, the review has discussed the lineage of key developmental theorists beginning with pioneer Erikson (1959) whose generativity versus stagnation phase has been used to understand prosocial behavior. Kegan's (1982, 1994) subject - object framework was also discussed as was Torbert's (2004, 2013; Rooke & Torbert, 2005) theoretical framework. Torbert's framework is of particular interest because it alludes to the type of leadership skills individuals are likely to exercise depending on their stage of development. As this review

suggests, research that utilizes the frameworks of Kegan and Torbert—and their accompanying assessment instruments—would be a solid first step in utilizing post-Erikson developmental theory to understand philanthropic giving. This literature also introduced some of the issues currently discussed in developmental literature that pertain to this study such as the dynamic nature of stages, the process of transition, and the implications recoverable loss has on developmental progression.

CHAPTER 3: METHODOLOGY

Overview of the Study's Design/ Rationale for the Design

I used a four-phase mixed-methods research design (Creswell & Plano Clark, 2011) to explore the relationships between donors' action logics and their philanthropic decisions and practices. The research design began with the collection and analysis of qualitative data and later moved on to collecting and, through a third party, analyzing quantitative data.

In this study, in fact, the quantitative data were used for triangulation purposes only. Quantitative measures were not front-and-center here, in part, because the psychometric properties of the instrument that was most appropriate for collecting data in this particular study are not well established. The results produced by the instrument, therefore, were used merely to determine whether the assessments made by coding the qualitative data gathered during the first phase of the study matched and, consequently, were supported by the instrument results. Given the limitations of the instrument employed to generate the quantitative data, however, the absence of a match did not automatically signal problems with the interpretation of the qualitative data. In fact, the triangulation process in this study was as much an informal assessment of the validity of the quantitative instrument employed in the study as it was an assessment of the trustworthiness² of the qualitative data. Discrepancies, in short, were opportunities to look more closely at the data and, in some instances, to collect additional data to make

² The term trustworthiness is used by qualitative researchers such as Lincoln and Guba (1985) in lieu of the term validity. This shift in terminology is symptomatic of most qualitative researchers' belief that knowledge is constructed rather than discovered and, consequently, that findings can never be considered true without taking into consideration the frame that was used to produce them.

sense of disagreements between the study's qualitative and quantitative results. This is, according to Mathison (1988), the appropriate role for triangulation to play in qualitative studies that operate out of a constructivist epistemology that does not expect different data sources to always produce consistent results. Triangulation, in other words, is not the same thing as reliability.

The reasons for employing a research design that made qualitative methods central to the research process were not merely the result of potential instrument inadequacies, however. Qualitative methods also were front and center in this study because, to the best of my knowledge (and, also, according to the person who generated both the developmental theory that was used to code the qualitative data and the development assessment instrument used in the quantitative phase of the study (Torbert, personal communication, October 15, 2013)), developmental perspectives have not previously been employed in the study of philanthropy or in the nonprofit field, generally. Consequently, as is often the case when one is beginning to explore previously unexplored empirical phenomena, it made sense to proceed with a relatively open-ended case-study design focused on generating thick descriptions (Geertz, 1973) of particular cases. Here the cases are 11 individuals engaged in philanthropy.

Of course, generating thick-description oriented cases requires the use of qualitative methods. Eventually, the results such methods produce can be used to generate theory and hypotheses that can be tested with larger samples quantitatively, possibly with the sort of instrumentation used here merely to triangulate case study results. At this point in time, however, it made sense to employ a design similar to what those who write about mixed-methods call an *exploratory sequential design* both because

this study explored previously unexplored territory and because of the psychometric limitations of the instrument being used in the study.

Participant Selection

General Strategy

Participant selection is an important component of any research study because the quality of the sample—specifically, the extent to which the sample mirrors the general population—informs the generalizability of the findings. This study, as just noted, was an initial exploration into the relationship between action logics and philanthropic activities and, as such, it was not expected that the study would yield generalizable findings in the traditional social science sense of the term *generalizable findings*.

Luker (2008), a sociologist from the University of California, Berkeley, suggested that researchers interested in the initial explorations of a phenomenon should not sample for representation but, instead, craft a sample population from what she calls “data outcroppings—places where you have good reason, either from previous theory or logic or personal experience, to think there will be a lot of what it is you want to study” (p. 161). Participant selection for this study, consequently, was focused on finding a sample where the relationship between action logics and philanthropic activities would be most palpable: i.e., a sample of philanthropists who gave significantly and in ways that demonstrated careful thought. The specific participant selection criteria and the sampling techniques used in this study will be explained in the next section.

Selection Criteria

Two primary participant selection criteria were employed. First, participants had to be philanthropists in California who make significant donations of their personal funds

to charitable causes. For the purposes of this study, a “significant” contribution was originally operationalized as a gift of \$5,000 or more per year. This amount was derived by roughly doubling the California median contribution of \$2,396 reported in a recent *Chronicle of Philanthropy* (2012) article. It became evident early in the study, however, that this operational definition would limit the diversity of my sample. Consequently, at that point I opted to accept participants whose philanthropic contributions fell below the originally specified level but who demonstrated a significant commitment to philanthropic activities. A significant commitment was defined as yearly monetary giving but also included volunteering and board service. Such commitment, as documented in the study, had been evident in the participants’ lives for a number of years or, in most cases, decades. This definition produced a range of actual monetary giving: the lowest annual gift of which I was aware was \$1,000 and the highest one-time gift of which I was aware was just over one million dollars.

Second, participants were expected to demonstrate, either in a preliminary conversations or by membership in a pre-designated group, mindsets and practices regarding giving that are consistent with the so-called “new philanthropy.” These mindsets and practices, which were described in the first chapter, include (1) bringing for-profit business strategies to the nonprofit sector (see, for example, Cobb, 2002, Fenn, 2002, Letts, Ryan, & Grossman; Pepin, 2005; Polak & Warwick, 2013; Wagner, 2002), (2) focusing on measurable results (see, for example, Foundation Center, n.d.; Letts, et al., 1997; Schervish, 2007), and (3) wanting to go beyond checkbook philanthropy by remaining engaged personally with charities after making contributions (see, for example, Bick, 2007; Bishop & Green, 2009; Ostrander, 2007; Pepin, 2005). To a lesser degree,

donor exclusivity³ has also been identified as a practice of new philanthropy (see, for example, Eikenberry 2007 and 2008).

My initial contact with potential research participants came via emails in which I described my study and its benefits, and solicited potential participants' involvement. I aimed to recruit individuals who were interested in advancing the understanding of philanthropic behavior. I also looked for participants who expressed enthusiasm about being involved in what is believed to be the first study of philanthropy that applies the thinking from the post-Erikson field of developmental psychology, specifically Torbert's Global Leadership Profile (GLP), to the study of giving. In this initial contact I emphasized the leadership dimension of the GLP profile because I believed this aspect of the study would be appealing to potential participants interested in social change.

Sampling Techniques

This study used a combination of purposeful (Creswell & Plano Clark, 2011) and snowball sampling techniques (Faugier & Sargeant, 1997). The purposeful sampling techniques included inviting members of pre-select groups to participate in the study. I initially recruited participants through Social Venture Partners (SVP). According to its website, SVP (n.d.) seeks to "go beyond philanthropy" by 1) investing in nonprofits, 2) engaging in shared learning, 3) connecting philanthropists, and 4) investing in collaborative solutions. By proxy of group membership, all SVP members meet the two broad criteria for study participation (i.e., giving significantly and thoughtfully). Each member makes significant charitable contributions, at least \$5,000 annually, and

³ Donor exclusivity refers to the preference of some philanthropists to engage in what is or, at least can be perceived to be exclusive relationships with donors rather than engage with other members of the sector such as nonprofit leaders or nonprofit clients.

demonstrates a commitment to new philanthropy principles through the group's "venture philanthropy" model of sharing money, time, and business-like principles with nonprofits. After speaking with the executive director about the study, she referred me to four members who she believed would be interested in participating; however these individuals were all Caucasian and mostly male. In order to diversify the sample, I invited the leaders of two similar philanthropic groups to also suggest potential participants. Sampling from these two groups yielded an additional five participants and added valuable diversity to the study. At the request of the participants of these groups, I am not including the names of the two groups in this write-up. However, it should be noted that one of the groups had a membership fee and the other allowed members to contribute at whatever level felt appropriate to the member. Both groups met at least two and, possibly, three of the four previously noted criteria for new philanthropists and, more importantly, these groups met the study's broader sampling goal of "data outcroppings."

This purposeful sampling process I initially employed eventually turned to snowball sampling. As more people learned about the study, more people wanted to be included. One participant was added who had no affiliation to the aforementioned groups but who clearly met the two selection criteria (i.e., giving significantly and in thoughtful ways—in his case, ways that were also consistent with new philanthropy). Another participant was added who met the selection criteria, added valuable diversity, and who just happened to also be a member of one of the member organizations previously described.

Participant Characteristics

In total, eleven participants were involved in the study. Four of these individuals were male and seven were female.⁴ Participants ranged in age from 46 to 70 years, with a mean age of 57 years. Seven out of 11 participants were white, two were Latina, one was Asian, and one asked to have her ethnicity disguised and, instead, to have her family described generically as immigrants. The sample also included individuals from a wide range of professions, socio-economic statuses, and, to a certain extent, religious affiliations. Though religion was not specifically discussed in the interview, it was mentioned by six participants. Two participants stated they were affiliated with Christian denominations (Catholic (specifically, Irish Catholic) and Methodist) and four participants stated they were Jewish, including one who practiced an Eastern spiritual tradition of Vedanta. Three of the eleven individuals who comprised the sample had inherited or been entrusted with the wealth they were responsible for distributing; the wealth of the remaining eight had been earned by either the individuals or their spouses.

Data Collection and Analysis

This four-phase study was conducted as follows. First, I interviewed participants and developed a series of what Polkinghorne (1995) calls narrative analyses⁵ or what others would classify as individual case studies. These documents provide what Geertz (1973) describes as “thick description” of the participants’ life experiences. The particular focus here was on life experiences related to philanthropy. Second, I offered a theory-based analysis of participants’ developmental levels based on the interview data related to each participant’s thinking about and practice of philanthropy. Polkinghorne

⁴ For the purpose of confidentiality, one of the men asked to have his case presented as if he were a female. Thus, the findings are presented as if there were three, not four, men in the study.

⁵ Polkinghorne (1995) defines narrative analyses as “studies whose data consist of actions, events, and happenings, but whose analysis produce stories (e.g., biographies, histories, case studies)” (p.6).

would refer to what was done during Phase 2 as the analysis of narrative.⁶ In this study, the analysis of narrative process used the stages articulated by developmental theory as coding categories. Third, I conducted three formal tests of the trustworthiness of the qualitative research findings: member-checking the relevant case with the respective participants; triangulation of my theory-based analysis for each of the participants with the results from the GLP; and an audit of the qualitative portion of the study. Finally, I attempted to make sense of the data through a cross-case analysis.

Phase I: In-depth Interviews and Case Construction

I conducted two 60 to 90-minute interviews with each participant. These interviews were recorded and transcribed. The first 10 minutes of the first interview were used to describe the study and develop rapport with the participant. The remaining time was allotted for the interview, itself. For both interviews, the interview protocol that can be found in Appendix A was followed loosely, allowing for emergent conversation to occur. During the first interview, participants were asked to identify and describe key events in their lives that they felt had influenced who they are as a philanthropist. They were given a paper with a horizontal line drawn in the middle and were told to imagine the line as a timeline of their lives. They were instructed to take approximately five minutes to write notes on the timeline about the specific events and memories they felt influenced who they had become. Participants were then prompted to explain these events to me in detail and, if possible, to discuss how their current beliefs about philanthropy developed in relation to the highlighted events. In addition to gathering valuable content, this interview also served as an opportunity to develop rapport.

⁶ Polkinghorn (1995) defines analyses of narrative as “studies whose data consist of narratives or stories, but whose analysis produces paradigmatic typologies or categories” (p. 5).

The second interview followed a modified Subject-Object interview format designed, primarily, to assess developmental level and, as a secondary benefit, generate additional content about the interviewee's current philanthropic activities. Participants were asked to describe two or three of their current philanthropic activities which are important to them. The use of the phrase "important to you" was intentional; this phrase is one of ten phrases proven effective in eliciting data that can be used to assess developmental level (Lahey, Souvaine, Kegan, Goodman, & Felix, 2011). In fact, the use of this phrase in particular is what allows this second interview to be a modified Subject-Object interview.

A word about the Subject-Object Interview. As described in Chapter 2, a Subject-Object (SOI) interview is an extension of the theoretical work of Robert Kegan (1982, 1994). It lasts approximately 60-90 minutes and holds, as its fundamental question, "from where in the evolution of subject-object relations does the person seem to be constructing his or her reality?" ((Lahey, Souvaine, Kegan, Goldman, Felix, 2011, p. 7). The procedures, which are documented in the manual *A Guide to the Subject-Object Interview* (Lahey, Souvaine, Kegan, Goodman, & Felix, 2011), will be described in this section as will the modifications to the SOI which were used in this study.

In a SOI, interviewees are given a series of 10 notecards, each with one of 10 prompts found by the SOI's developers to be successful in eliciting material that can be used to assess developmental level. The 10 prompts are: angry, anxious/nervous, strong stand/conviction, important to me, success, sad, moved/touched, lost something, change, and torn. The interviewee is instructed to jot down notes about current or recent situations related to those prompts. The interviewee is then asked to select one of the prompts and

explain the situation to the interviewer. Typically only two to three of the prompts are discussed during any given interview.

As the interviewee discusses the self-selected prompt, the interviewer asks probing questions to assess the structure behind, not the content of, interviewees' constructed reality.⁷ Interviewers seek to ascertain the *whys* behind a person's thinking by asking questions such as: what are the important outcomes for you, what are the extremes (i.e., the most important or most exciting parts of the story), and how did you come to know or evaluate something. Interviewers will also sometimes ask participants to look at the other side of the experience or to describe what is most at stake for them in the situation.

During the course of the interview, the interviewer forms a hypothesis about the participant's developmental level. Once formed, the interviewer must test this hypothesis by looking for disconfirming evidence. For example, if the participant has provided evidence that he or she is constructing meaning at one stage, the interviewer must then probe to see if the participant can, in fact, construct meaning at the next highest stage. The interview can be considered complete once the interviewer has determined that the participant *is* constructing meaning at a certain stage and *cannot* construct meaning at the next highest stage. SOIs are tape-recorded and transcribed. Interviewers then review the transcript before making the final assessment. An "official" SOI must be reviewed by at least two scorers.

For the purpose of this study, I developed a modified SOI. The modifications were as follows: First, I used only one prompt, important to you, and, second, I specified

⁷ Examples of structure verses content will be given later in this literature review.

that participants were to discuss this prompt in relation to their current philanthropic activities. These modifications allowed me to assess developmental level and, simultaneously, generate content about how developmental level is (or is not) related to participants philanthropic activities. The modifications of the SOI in this study were similar to those used in a study designed by the SOI manual's lead author; Lahey's (1986) dissertation also used one prompt (torn) and two domains: love and work.

For most participants in the present study, I was able to form a working hypothesis about their developmental level during the first interview. I then tested (i.e., tried to disprove) this hypothesis during the second interview. This attempt to disprove my own working hypothesis was an important part of the process. Following the protocol suggested for the Subject-Object interview, assessments of a participants developmental level were only made when I was satisfied that a) the participants provided evidence they constructed meaning at a certain level and, more importantly, b) participants also provided evidence they were unable to construct meaning at the next highest level (Lahey, Souvaine, Kegan, Goodman, & Felix, 2011).⁸ For explanatory purposes, an example of this attempt to disprove my own hypothesis can be found in the theory-based analysis for Richard in Chapter 6.

Documenting Phase I findings. As part of Phase I, I conducted what Polkinghorne (1995) describes as a narrative analysis of the data, attempting, as much as possible, to recreate the individual life stories of the individual philanthropists. During this part of the analysis, I attempted to bracket my knowledge of developmental theory. The goal of telling a person's story, in other words, was used as a kind of distraction

⁸ For the sake of simplicity, the theory-based analysis will focus on the level at which participants construct meaning.

technique so as not to prematurely layer developmental stage categories on the data. As much as possible, I used the participant's own words and phrases. This narrative illuminated the uniqueness and complexity of each participant and offered a thick description (Geertz, 1973) of each case. However, it is important to recognize that narrative analysis is not meant to be merely a description of a person's thoughts and actions but, as Polkinghorne (1995) describes, "a means of making sense and showing the significance of them in the context of the document" (p. 19). I attempted to describe, in so much as the data allows, not just the "whats" of the participants' life but also, using their own words, the "hows" and the "whys."

To state this point another way: Doing philanthropic work was what Polkinghorne (1995) would characterize as the denouement of each story. My task was to include the information that led logically and psychologically to this denouement. For most participants, I wrote the first draft of the narrative analysis within one week of finishing the two interviews.

Phase II: Theory-Based Analysis of Narrative Data

Following the completion of the narrative analysis, I conducted what Polkinghorne (1995) referred to as an analysis of narrative for the interview data I collected and configured as a story or case (Polkinghorne's narrative analysis) during Phase I. Here I am using the term *theory-based analysis* to characterize the second phase of analysis I engaged in because I used developmental theory for coding purposes. Specifically, in this second phase of analysis, the stages of development or sequential action logics articulated in Torbert's (2004; Rooke & Torbert, 2005) theory of development were used as coding categories. In short, I analyzed data from the interview

transcripts by mapping them against the core characteristics of Torbert’s action logics (2004). The core characteristics, presented in Table 6, represent my attempt to summarize the action logics in a way that lends itself to qualitative analysis. Appropriate portions of this table will be reproduced later in this document alongside the theory-based analysis presented for each participant. As with the narrative analysis, the analysis of narrative—which will, from this point forward, be referred to as theory-based analysis—was conducted as soon after the interviews as possible and, most importantly, prior to my discovery of how the participant scored on the GLP.

Table 6

Core characteristics of each action logic

Action Logic	Core Characteristics
Diplomat	<ul style="list-style-type: none"> • Avoids inner and outer conflict • Suppresses own desires in order to maintain harmony • Seeks membership in and acts as social glue for organizations and groups • Avoids giving and receiving negative feedback
Expert	<ul style="list-style-type: none"> • Interested in solving problems within the logic of their craft • Makes decisions based on technical merit • Chooses short-term efficiency over long-term effectiveness • Can be a perfectionist and, thus, susceptible to burnout • Open to feedback from craft masters
Achiever	<ul style="list-style-type: none"> • Is interested in results and effectiveness • Sees him/herself as an initiator in establishing and working towards long-term goals and outcomes • Is drawn to learning (and leading) across disciplines • Is aware of his/her own pattern of behavior but does not question that pattern • Seeks feedback from those deemed worthy to provide feedback; uses feedback to determine if s/he is meeting self-defined standards and goals
Individualist	<ul style="list-style-type: none"> • Is aware of and often questions and redefines his/her own perspectives • Focuses on long-term goals and outcomes, but considers these goals within a broader context

Action Logic	Core Characteristics
	<ul style="list-style-type: none"> • Is sensitive to individuality and to context (both historical and present day) • Seeks feedback as a way to determine if s/he is meeting self-defined standards and goals; uses feedback to determine whether and how those standards and goals should be reevaluated
Strategist	<ul style="list-style-type: none"> • Oriented to long-term goals and outcomes, and sees goals and outcomes as inseparable from the learning process of everyone involved • Is so familiar with the process of redefining his/her own perspective that s/he becomes interested in helping others do the same • Enjoys playing a variety of roles • Locates their work within a broader context • Open to feedback about every aspect of him/herself
Alchemist	<ul style="list-style-type: none"> • Embraces common humanity • Is more concerned with the experience of self than the ideas held about the self • Regularly challenges paradigms of thought and is comfortable operating in the space between paradigms • May or may not be pursuing outcomes but, if so, is doing it without attachment or fervor • Approaches seemingly tragic situations with a relaxed compassion that may be perceived as uncaring or aloof • Oriented to the present moment and, consequently, pays attention to where his/her attention is drawn • Open to feedback about every aspect of his/herself

Source: Adapted from Torbert, 2004; Rooke & Torbert, 2005

Phase III: Insuring Trustworthiness

After completing the first two phases of this research, I engaged, during a third phase of the study, in three procedures to insure that the study results were trustworthy. The first procedure, member checking, was designed to make sure I had represented research participants' perspectives as they saw themselves. The second two procedures, administering the GLP instrument and conducting an audit of the data and my

interpretation of the data, were designed to crosscheck my developmental coding of the thinking and actions of the eleven research participants.

Member checking. To ensure I had accurately understood and reflected in the narrative analysis data gathered during the interviews and represented the individuals whose lives and philanthropic practices were represented in the cases that had been constructed, I incorporated a formal member checking procedure. Participants were invited to review the narrative analysis developed during the first phase of the study and asked to address three specific questions: (1) Is this factually accurate? (2) Did I accurately portray the way you think about your life and about your philanthropy? (3) Are you comfortable with how I have disguised your identity? Participants' feedback, which will be discussed in Chapter 9, was incorporated into the final versions of the narrative analyses.

Triangulation with the Global Leadership Profile (GLP). Assessments made from interview data were triangulated with assessments made from the GLP. Participants were asked to complete the GLP which, as described in the literature review, is a sentence-completion instrument consisting of 30 open-ended sentence stems. The instrument was emailed to participants between the first and second interviews. Participants were instructed to allot at least 60 minutes of uninterrupted time during which they could complete the assessment in one sitting. Additionally, participants were told they should feel free to complete the sentence stems in the way that seems best for them, and they were assured that there were no right or wrong answers.

The participants' completed assessment documents were emailed to a member of Torbert's Action Inquiry Associates (AIA) team for analysis. I deliberately chose to have

an independent third party score the results because the GLP results were being used to triangulate the interpretations I had made of the qualitative interview data I had collected. Consequently, it was important for me to not be involved in scoring the GLP to avoid both the possibility of the qualitative analysis contaminating the analysis of the quantitative data collected by using the GLP and the possibility that the quantitative results might impact my interpretation of the qualitative findings.

More about the scoring of the GLP. AIA's scoring protocol used the second edition of the scoring manual for the Washington University Sentence Completion Test (WUSCT) (Hy & Loevinger, 1996) for earlier action logics and Cook-Greuter's (1999) interpretation for later action logics.⁹ Torbert (2014) contends that there is no clear field-based evidence to support distinctions beyond the beginnings of the Alchemist action logic, so the GLP scoring procedure conservatively uses all the Cook-Greuter criteria for scoring as Early Alchemical any responses for the Alchemist or later-stage individuals.

First, each sentence stem, also known as an item, is rated individually. In the WSUSCT manual, Hy and Loevinger (1996) address each item separately and, for each item, identify a range of responses for each developmental level. These responses are grouped thematically. For example, under the item "When I am criticized..." Hy and Loevinger list a number of possible responses listed for each developmental level. Under the Conscientious developmental level (equivalent to Torbert's Achiever level), for example, there are four themes listed as possible responses to that particular item. Under each of those four themes, the manual presents one to six possible variations of each

⁹ As described in the literature review, Cook-Greuter's (1999) work demonstrated that Loevinger's scoring manual was insufficient for scoring later stages. Cook-Greuter used more than 4,400 completed stems to develop and, in her 1999 Harvard dissertation, test her scoring protocol for later stages.

theme and sample responses. To assess an item, a GLP scorer would match the participant's response to the most appropriate theme and level. Both the first and second editions of the manual explicitly state researchers are to assess each item in isolation to avoid being biased by the overall protocol.

Second, putting aside the scored protocols (before assigning a statistical overall score in a manner described below), the manual instructs researchers to review all the sentence completions on a given profile and to assign their own 'intuitive' (but obviously theoretically and empirically influenced) Total Protocol Rating (TPR) assessment (a more clinical approach). In establishing the TPR, the manual allows for what it describes as "important nonpsychometric steps". These steps may include reviewing the overall profile for repetition of specific words or phrases, for ideas (such as love or responsibility), and for general alignment with theory. (The GLP rates protocols at each action-logic at three different levels – for example, Early Achiever, Achiever, Late Achiever. These distinctions are often influenced by the intuitive TPR, if they are different from the Statistical Protocol Rating.)

Next, a Statistical Protocol Rating is generated for each protocol. Hy and Loevinger (1996) offer explicit instructions (p. 39) for deriving this cumulative frequency. This is done by giving a more heavily weighted score for each item at a later action-logic, which results in a person requiring fewer scores at the later action-logics in order to be rated as having that as their center-of-gravity action-logic. The reasoning behind this is that each later action-logic includes the capacities of all the earlier action-logics, so one would expect a wider range of responses at each later action-logic.

The intuitive TPR is then compared to the SPR generated by the cumulative frequency of all items, and a Final Protocol Rating is chosen. It was not clear from Torbert's description how, exactly, the comparison between TPR and SPR is conducted or how discrepancies are addressed. But, according to Torbert, this process means that each protocol is not only scored by a scorer trained to professional levels of reliability, but also generates an internal reliability test between the TPR and SPR for each measure. In addition, each sentence completion form is reliability tested by a second GLP-trained rater. Moreover, when the GLP is used by professional consultants and coaches, participants receive a self-estimate form prior to receiving the formal GLP Report, and the debriefing begins by comparing their self-estimate to the professional/research-based analysis.

The role of the GLP in this study. The administration of the GLP served three purposes. First, as has already been suggested, it offered a form of triangulation, a process that yields what Mathison (1988) characterized as “more and better evidence from which researchers can construct meaningful propositions about the social world” (p. 15).

Second, it allowed the project to also serve as an assessment of the GLP instrument. One of the things that became apparent as I designed this study was the absence of much in the way of psychometric support data for the GLP. As documented in Chapter two, the GLP is based on the psychometrically validated Washington University Sentence Completion Test, but the GLP itself had not yet been validated.

Third, participants had the option of receiving and reviewing their GLP results. This option represented a tangible benefit to the participants in recognition of their participation in the study.

As will be discussed in some detail in Chapter 9, the administration of the GLP did, indeed, add to the richness of this study. But, consistent with Mathison's (1988) claims that triangulation is not the same thing as reliability and, consequently, qualitative researchers should *not* assume they will find consistency when they triangulate, there were some inconsistencies between my qualitative interpretations of certain participants' action logics and the GLP's action-logic interpretations. Largely because of these inconsistencies, I organized an additional trustworthiness check that is often mentioned in the literature on qualitative methods: an audit of the data and my interpretations of the data.

Research audit. Though more often discussed than conducted, formal research audits are one way qualitative researchers can establish the trustworthiness of their findings (Lincoln and Guba, 1985). This study included a formal audit of the qualitative data and analysis. This audit was purposefully conducted on the three cases with the largest discrepancies between the assessments made from the qualitative interview data, on the one hand, and the GLP results, on the other. Three auditors each reviewed data from two of the cases. Each case was reviewed by two auditors, allowing for an assessment of inter-rater reliability between auditors.

The procedures were as follows. For each case, auditors were asked to first review the data from the two interviews, then read the narrative analysis, and, then, answer two questions: (1) Does this narrative analysis seem to be consistent with the story the

participant tells about him/herself? (2) Are all relevant data included, or has data that would specifically speak to the participant's developmental structure been inadvertently omitted?

Then, auditors were asked to read the theory-based analysis and answer two questions: (1) Based on the data presented in the transcripts and the narrative analysis, does the overall assessment seem accurate? (2) If the assessment does not seem accurate, please identify why it is inaccurate and what other assessment should be considered. For example, were data available but not included, or, perhaps, was there not sufficient data available to make an assessment? Feedback from the auditors, which will be discussed in Chapter 9, was incorporated into the final write-up of the research.

Phase IV: Cross-case Analysis.

This study concluded with a cross-case analysis of all participants. This analysis utilized the qualitative data to identify overarching themes relevant to the purpose of the study: the relationship between donors' action logics and their philanthropy. In order to explore and present these themes, participants were categorized into early, middle, and late action logics. These categories were developed using the comparison of Kegan's (1982, 1994) and Torbert's (2004) theoretical frameworks presented in Chapter 2. The four themes presented in Chapter 10 were derived inductively from the data.

Conclusion

This four phase mixed-methods research design was developed to explore the relationship between donors' action logics and their philanthropic giving. For each of the eleven cases focused on in this study, I conducted two interviews from which I developed a narrative analysis and a theory-based analysis. Then, three other procedures were

employed to insure the trustworthiness of the findings: member checking, triangulation with GLP data, and a formal research audit. Finally, I conducted a cross-case analysis and identified four themes that appear to be especially relevant to the purpose of the study.

The results of the study will be presented in the chapters that follow.

CHAPTER 4:
INTRODUCTION TO FINDINGS AND ANALYSIS OF CASES #1 AND #2

Introducton to Findings

This chapter marks the first of five chapters that present narrative analyses and theory-based analyses of the data collected via two interviews for each of eleven participants. During the first interview, I asked participants to describe the events and memories which they felt influenced their current philanthropic activity. Participants constructed a brief, written timeline of their life and, then, spent 60-90 minutes discussing the details of this timeline. The second interview followed a modified Subject-Object interview (Lahey, Souvaine, Kegan, Goldman, Felix, 2011). In this interview, participants were asked to describe two or three of their current philanthropic activities that were *important to them*, a phrase that Lahey, et al. determined was effective in generating data related to a person's structure of thought. As participants described their philanthropic activities, I probed for developmental level using the Subject-Object interview technique (see Chapters 2 and 3 for more information about this technique and how it was modified for this particular study).

Typically, I generated during the first interview a working hypothesis of interviewee's developmental level, i.e., action logic. I then tested this hypothesis in the second interview by looking for disconfirming evidence, i.e., evidence the person was able to construct meaning at a stage higher or, in some cases, lower than my original hypothesis. Following protocol for the Subject-Object interview, the theory-based assessment was generated once a) the participants provided evidence they constructed

meaning at a certain level and, more importantly, b) participants also provided evidence they were unable to construct meaning at the next highest level.

For the sake of simplicity, the analyses that follow present evidence of how participants actually constructed meaning rather than how they did not construct meaning. However, the potential next steps in participants' thinking—i.e., the next highest level—is discussed for some participants in the theory-based analysis for their case and in the cross-case analysis in Chapter 10.

The final assessments offered in the theory-based analyses were made using Torbert's (2004) theoretical framework. Torbert's framework, which was discussed in detail in Chapter 2 and, at that time, mapped to Kegan's framework, includes seven stages or, to use his language, action logics: Opportunist¹⁰, Diplomat, Expert, Achiever, Individualist, Strategist, and Alchemist. Table 7 presents an abbreviated list of the core characteristics of these stages. The characteristics listed here are not exhaustive; however, they do offer a clear outline through which to assess the action logics of study participants. Relevant sections of this table will be reproduced for each case in the theory-based analysis.

Table 7

Core characteristics of each action logic

Action Logic	Core Characteristics
Diplomat	<ul style="list-style-type: none"> • Avoids inner and outer conflict • Suppresses own desires in order to maintain harmony • Seeks membership in and acts as social glue for organizations and groups • Avoids giving and receiving negative feedback
Expert	<ul style="list-style-type: none"> • Interested in solving problems within the logic of their craft

¹⁰ The Opportunist is not included in this list because the study did not include any individuals assessed at this level.

Action Logic	Core Characteristics
	<ul style="list-style-type: none"> • Makes decisions based on technical merit • Chooses short-term efficiency over long-term effectiveness • Can be a perfectionist and, thus, susceptible to burnout • Open to feedback from craft masters
Achiever	<ul style="list-style-type: none"> • Is interested in results and effectiveness • Sees him/herself as an initiator in establishing and working towards long-term goals and outcomes • Is drawn to learning (and leading) across disciplines • Is aware of his/her own pattern of behavior but does not question that pattern • Seeks feedback from those deemed worthy to provide feedback; uses feedback to determine if s/he is meeting self-defined standards and goals
Individualist	<ul style="list-style-type: none"> • Is aware of and often questions and redefines his/her own perspectives • Focuses on long-term goals and outcomes, but considers these goals within a broader context • Is sensitive to individuality and to context (both historical and present day) • Seeks feedback as a way to determine if s/he is meeting self-defined standards and goals; uses feedback to determine whether and how those standards and goals should be reevaluated
Strategist	<ul style="list-style-type: none"> • Oriented to long-term goals and outcomes, and sees goals and outcomes as inseparable from the learning process of everyone involved • Is so familiar with the process of redefining his/her own perspective that s/he becomes interested in helping others do the same • Enjoys playing a variety of roles • Locates their work within a broader context • Open to feedback about every aspect of him/herself
Alchemist	<ul style="list-style-type: none"> • Embraces common humanity • Is more concerned with the experience of self than the ideas held about the self • Regularly challenges paradigms of thought and is comfortable operating in the space between paradigms • May or may not be pursuing outcomes but, if so, is doing it without attachment or fervor • Approaches seemingly tragic situations with a relaxed compassion that may be perceived as uncaring or aloof • Oriented to the present moment and, consequently, pays attention to where his/her attention is drawn • Open to feedback about every aspect of his/herself

Source: Adapted from Torbert, 2004; Rooke & Torbert, 2005

The findings—first a narrative analysis (or case study) and, then, a theory-based analysis—will be presented for each participant in order from earliest to latest action logic. To preserve confidentiality, the names of individuals and, in some cases, organizations have been changed.

Case #1: Paula: Steward of Legacies

Part I: Narrative Analysis

Paula grimaces when she looks at a budget spreadsheet but comes alive when she talks about helping others, and, especially, when she talks about being with people as they die. She has helped many of her family and friends make the transition from life to death, just as she has helped many of the women in her life give birth. Some people would shy away from the role of care giver, particularly the hospice-like aspects, but, for Paula, it is a natural fit: “It just feels like you’re helping somebody on the way in or your helping somebody on the way out. Just being there.”

Paula’s comfort in these situations may be the cumulative result of her life experiences and career, most of which was spent in Eastern medicine. One of eight children in an Irish-Catholic family, she moved around a lot as a child. She was born on the East Coast, raised in the mid-West, spent a year or two in the South, and then moved to California right after high school.

Paula had always been physically active and, when she got to California, she joined a sibling in practicing ballet. She immersed herself in it, practicing six days a week. “Just my own OCD here,” she said as she acknowledged that, when she practices something, she really commits to it, almost to a fault. “Instead of something balancing your life,” she said, “it ends up being the focal point in your life.”

She eventually quit ballet and began to study with an Eastern medicine practitioner. This master required that Paula also practice the martial arts which taught her, among other things, about how to work with the natural movement of the body. Paula studied Eastern medicine with this master for more than 16 years, until the teacher

died and she found yoga. Paula took yoga further than she had ballet or eastern medicine, eventually starting her own studio which she operated for about 18 years.

Accidental philanthropist. Paula did not set out to be a philanthropist but, as she said, “was kind of thrust into this role” when a dear friend, Robert, passed and left a multi-million dollar legacy to be dispersed to nonprofits through a private foundation. Paula was given a leadership role in the foundation and is a key decision maker in how the foundation distributes several million dollars a year. Paula never expected to be in such a position. In her own words, “It was pretty overwhelming, and I didn’t feel confident.” That was about seven years ago, and she feels she is still slowly learning the ropes.

To fully step into this role, Paula closed her Pilates Studio and became a member of Social Venture Partners (SVP), an organization that will be discussed shortly. She spends her days meeting with nonprofits and other funders to try and do the best she can with the money under her care.

A second legacy. Paula is also caring for a second legacy—the memory of Josh, an eighteen year old young man who died in a tragic accident about two years ago. Josh was a long-time friend of Paula’s son, and, after his passing, Josh’s father founded the nonprofit Carrying On. In life, Josh was able to bring together various peer groups including surfers, skateboarders, and even the motorcycle kids. After Josh’s death, his father created an organization to continue uniting what others might perceive to be misfit kids. Through the organization, Josh’s friends, some of whom are professional skateboarders, travel to established nonprofits serving at-risk youth. They set up a taco stand, play music, and spend an afternoon teaching kids to skateboard. After the event, all

the skateboarding supplies, including safety equipment, are donated by Carrying On to the host nonprofit.

Although otherwise gun-shy of the responsibility that comes with being a board member, Paula feels like she has something to contribute to Carrying On. She talks with the founder about how to better position the organization for funders. The problem is that the founder does not always want to listen. “It’s almost like he doesn’t want to hear it from me. . . because my relationship with him is really close.” But Paula is patient and always remembers that facilitating her friend’s healing is more important than promoting organizational effectiveness. She sometimes brings in a third party to help relay important messages.

Josh and Robert, both of whose legacies Paula helps to steward, had something in common: While they were both very kind, loving souls, they both had personalities that many found very difficult with which to contend. In fact, Robert was so cantankerous that many of his business contacts could not sustain even professional relationships with him. And even kind-hearted Paula used to dread babysitting Josh, who was an especially fussy youngster. But, through it all, Paula saw the “diamond in the rough” in both of these two men and in many other people she has met along the way, as well. It seems she is able to connect with the essence of people far below the scratchy surface of personality. In fact, as Paula says, “I really kind of like crazy. I have no problem with crazy. . . I can see value.”

Paula’s contribution. Paula, whose primary personal value is establishing and sustaining relationships, sees her role in philanthropy as a connector. She wants to facilitate relationships and make connections that help the nonprofits she serves. For

example, upon the recommendation of a fellow philanthropist, she identified and hired a nonprofit consulting firm to train the nonprofits funded by the foundation. As a part of a six month training effort, the nonprofits better defined their missions, reviewed their impact metrics, and ensured that everybody in the organization was speaking a unified fundraising message. Paula believes this training was a “homerun” for every organization that participated, but recalls one organization in particular that really benefited. This organization, a community clinic, hoped to ask for \$20,000 from a donor. After asking for and receiving the money, the organization used the techniques learned in the training to make a second “ask,” this time receiving an even larger contribution toward a \$650,000 capital campaign that had not yet been officially launched.

Because of strategies like this, Paula has been described as a thought leader in philanthropy, a characterization she finds comical. Even after seven years, she still feels new to philanthropy; “it seems that I can never quite relax into it at some level,” she stated. She wants to keep polishing her overall understanding of nonprofit management and philanthropy, but, as she said, “I don’t have to be the expert.”

A new immersion. Paula may not feel the need to be the expert, but she does want to develop her understanding of philanthropy and to feel competent in the philanthropic world in which she now operates. And, for Paula, when she does something, she does it full-time. After long stints with ballet, Eastern medicine, and yoga, Paula has now immersed herself in the world of philanthropy. For the past seven years, she has focused on learning to understand nonprofit spreadsheets, annual reports, and other financial documents. It is not her cup of tea, of course; “I have a lot of energy, but

not for that sort of thing,” she stated. But developing an understanding of the non-people part of the philanthropy and nonprofit business is important, nevertheless.

Because she believed that she lacked business experience (despite the fact that she ran a yoga studio for almost two decades) and on the recommendation of a friend, Paula joined Social Venture Partners (SVP), a philanthropic membership organization which provides grants and, through the volunteer labor of members, pro bono consulting to nonprofit organizations. Through SVP she has learned about building stronger nonprofit infrastructure, including strategies such as developing earned income, engaging in strategic planning, regularly assessing board development, and focusing on appropriate staffing. She can appreciate the knowledge of SVP’s more business-oriented members and, at the same time, recognizes that she brings something else to the table: the power of listening.

Paula observed that some of her fellow members, armed with years of business experience, quickly assess and diagnose problems in nonprofit organizations. They jump into the consultant mode and start telling the nonprofit what needs to change. Paula wishes they would slow down and listen. She prefers to construct mutuality in relationships, and wishes some of her more Type A colleagues also would try to get a sense of whether the nonprofit is on board with the ideas her colleagues promote and what those who work in the nonprofit organization, themselves, see as potential next steps.

Relationships: A strength and a challenge. Paula feels deeply for those coming to her for help. “My heart goes out to a lot of these organizations,” she said; “it seems like kind of a tough road just to be constantly asking for money.”

She is torn. On the one hand, she wants to develop the skillset needed to accurately assess nonprofit organizations. On the other, she knows that her years in bodywork have taught her how to listen deeply, and that she is aware of important organizational and relationship dynamics that many of her SVP colleagues miss when focusing strictly on assessment. She said, “Relationships is [sic] really the key thing for me in my life.” Whether she is listening to a nonprofit founder or sitting by the bedside of a dying friend, “it’s just accepting wherever they’re at in the process. Still loving and accepting them.”

The same relationships that provide so much joy and meaning can also provide the biggest learning challenges. She hates to put anyone in a position of being defensive or dismissive; and she often wonders, “How do you disagree [with someone] but still come to a consensus?”

Part II: Theory-Based Analysis

Paula exhibits the core characteristics of a Diplomat action logic. These characteristics are summarized in Table 8 (a reproduction of parts of Table 7 which was presented earlier). The discussion that follows will be organized around the characteristics of a Diplomat listed in the table.

Table 8

Core characteristics of the Diplomat action logic

Action Logic	Core Characteristics
Diplomat	<ul style="list-style-type: none"> • Avoids inner and outer conflict • Suppresses own desires in order to maintain harmony • Seeks membership in and act as social glue for organizations and groups • Open to feedback in the context of relationships

Source: Adapted from Torbert, 2004; Rooke & Torbert, 2005

The Diplomat avoids inner and outer conflict. Paula certainly demonstrated an aversion to conflict a number of times during the interviews. Specifically, she discussed a relationship with a fellow philanthropist. In this relationship, Paula found that she often disagreed with the philanthropist but did not know how to handle the disagreement. In a tone that appeared to be more advice-seeking than rhetorical, she asked:

How you disagree but in kind of a sense [that] you're trying to come to a consensus? You have these disagreements, but you want to keep the conversation so you have all these diverse sort[s] of thinking, thoughts and ideas and yet ... you hate to kind of get anybody defensive or dismissive.

This quote illustrates that, for Paula, avoiding conflict—in this case, conflict that would make someone feel defensive or be dismissive—was more important than finding a workable solution to the problem at hand. In fact, Paula described a number of occasions where, in order to avoid conflict, she chose not to speak up. This aversion to conflict is characteristic of the Diplomat and, ironically, is one of the ways a Diplomat can, ironically, actually create the conflict she seeks to avoid.

The Diplomat suppresses own desires in order to maintain harmony. Paula exhibited this behavior on a number of occasions. For example, she described an experience she had while serving on the board of her friend's organization, Carrying On. The founder, who had started the nonprofit to honor his late son's legacy, was new to the nonprofit sector. Paula had more knowledge about nonprofits than her friend, and often wanted to give him advice and share information. In fact, Paula seemed pleased that she had learned enough during her time as a philanthropist that she actually had expertise to

share. And, as a board member, it is her right and, more importantly, her legal responsibility to provide feedback about the organization.

Paula, however, sensed that her friend was resistant. She said, “It’s almost like he doesn’t want to hear it from me ... because my relationship with him is really close.” Paula chose to remain silent and protect the relationship rather than provide what was likely much-needed advice and feedback to the organization’s founder. Paula felt that her decision to remain silent was a decision that honored the healing process of her friend.

Paula’s unquestioned assumption seemed to be that conflict, at least the sort of conflict that might have arisen had she shared ideas about nonprofit best practices, would have been unhealthy. Paula, whose overall persona I would characterize as meek, willingly suppressed her ideas in order to maintain harmony and the status quo. This decision is characteristic of a Diplomat action logic in that harmony or, in this case, sensitivity to the feelings of the other person, takes precedence over all else, including, in Paula’s case, Paula’s legal responsibilities as a board member.

The Diplomat seeks membership in and acts as social glue for organizations and groups. Paula also exhibited the diplomat’s tendency to seek membership in and act as the social glue for organizations and groups. For example, early in her career as a philanthropist, Paula became a member of Social Venture Partners (SVP) as a way to educate herself about effective philanthropy. She described befriending the executive directors (there have been several during her tenure in the organization) and, during consulting visits to nonprofit organizations, of acting as a buffer between nonprofit leaders and some of the more gruff members of SVP. Paula said that some members of the group are what she described as Type-A—career-driven and goal-focused. When

talking with nonprofit leaders, Paula observed that these members often neglected to listen and, instead, spouted their ideas, even if it was clear (to Paula, at least) that the nonprofit leader would not implement these ideas. Paula believes she has the ability to sense how the nonprofit leader is responding to the SVP member, and she uses that information to help facilitate the conversation. Paula does not explicitly confront the Type-A members, but she said that, at times, she used humor to lighten the conversation or defuse difficult conversations. Paula's keen interest in both being a member in and supporting the harmonious function of groups is consistent with a Diplomat action logic.

The Diplomat avoids giving and receiving negative feedback. In general, the Diplomat avoids both giving and receiving negative feedback. Instead, the Diplomat looks to relationships as a sort of compass that helps guide behavior. Specifically, the Diplomats are attuned to the types of conflicts which might disrupt a relationship, and use this sort of information to adjust their behavior and maintain harmony. Paula exhibited several examples of this behavior, many of which have been described in earlier sections of this analysis and in the preceding narrative analysis. For example, Paula used the feedback of her friend, the founder of Carrying On, to determine it would not be wise to say what she really thought. Paula also used her observation of interactions between nonprofit leaders and SVP members to determine how to keep the peace in the conversation. These examples, which were characteristic of many stories shared by Paula during the interview, indicate that she avoids negative feedback in ways consistent with a Diplomat.

One additional point about Paula, the Diplomat. This analysis has demonstrated that Paula's perspectives are inextricable from her relationships but

relationships, in Paula's case, are not just about people. Her relationships also include distinct areas of interest such as Paula's ballet, eastern medicine, yoga, and, now, philanthropy. With each immersion into a new area of interest, Paula committed herself fully, often practicing six days a week. She let go of other activities to focus on the one at hand. These appeared to be discrete, bounded experiences through which she described herself for a period of time. She can relate to ballet, and has a sense of identity as a ballet dancer. She can relate to yoga, and has a sense of identity as a yoga practitioner and studio-owner. She can relate to philanthropy, and has a sense of who she is becoming there. In each instance, the area of focus provided Paula with an outline for her identity; however, because they existed for her as discrete areas, she does not experience herself as simultaneously a ballet dancer, yoga studio-owner, and philanthropist. Consequently, she does not transfer what she has learned from one area into other areas. Here is a portion of the interview transcript which illustrates this point:

JAJ: I know a lot of [your work in philanthropy] seems new. Is there anything that you draw from in your past? From running your own business, from raising family, is there anything that you draw from to help you make sense of it?

Paula: Um, again I think it's um just getting along with people. I've always said that.

Paula's pattern of discrete, serial immersions is suggestive of what Kegan has called the Socialized Mind (Kegan, 1982, 1994), which scholars have suggested is consistent with the Diplomat action logic (Cook-Greuter, 1998).

Conclusion. Overall, Paula demonstrates numerous characteristics of the Diplomat action logic. Specifically, she avoids inner and outer conflict, suppresses own desires in order to maintain harmony, seeks membership in and acts as social glue for organizations and groups, and avoids negative feedback. At 54 years of age, Paula has likely been operating through a Diplomat action logic for about three decades. Indeed, it appears that each of the fields in which she immersed herself during the course of her lifetime—ballet, yoga, oriental medicine and, now philanthropy—offered a discrete, bounded opportunity to express the Diplomat action logic.

Case #2 Julieta: Auditor, Advocate, Steward

Part I: Narrative Analysis

It is not clear what Julieta enjoys more: learning or sharing her knowledge with others. Over the years she has amassed a wealth of knowledge about government, social services, unions, and growing up bicultural in California. She uses this information to advocate for others and to ensure that, where appropriate, policies and procedures are followed. In all of this activity, Julieta is continuing the legacy of her father, who taught her to always help others.

The early years. Julieta's father was born in California in the 1930s but, during the Depression, he and his family were forced to return to Mexico. It was in Mexico that he grew up and eventually met Julieta's mother. Together they had eight children, whom they brought to the United States in the early 1970s. Julieta was a middle child and a natural care taker. She took on leadership roles in the household and, eventually at school. As she recalled,

I was always involved with helping my sisters, mentoring them, making sure that they receive what they needed as far as schooling and sports and making sure they stayed away from drugs and bad kids. I became the mom outside the home.

Neither one of Julieta's parents had more than a third grade education, but they were determined that their children would succeed in school. Julieta picked up on that determination. She was approximately nine years old when the family arrived in the United States. She spoke only Spanish but, through a concentrated effort, quickly learned English. In less than a year Julieta was moved out of bilingual classes.

Throughout high school, Julieta took advantage of every learning opportunity possible. She was an avid reader and could often be found late at night, under the covers, reading a book. She enthusiastically participated in several youth leadership-development programs, including Junior Achievement, a program that teaches entrepreneurship skills, and was offered a high school internship position in the X-ray department at a local Navy Hospital.

In addition to seizing every opportunity to learn and further her development, Julieta also maintained strong relationships with her peers. She recalled talking to everyone; it did not matter from what social group the person came, Julieta made friends with them. Her classmates took notice of Julieta's drive and elected her president of the student government in junior high school.

Julieta's can-do spirit was largely influenced by watching her parents, particularly her father. When the family arrived in California in the early 1970s, her father worked as a day laborer. Despite this back-breaking work, he found time in the evenings and on weekends to help family members obtain housing, fix or construct their homes, or deal with issues related to immigration. He set his pride aside and, for the first few years in the United States, accepted welfare assistance from the federal government. He worked hard, saved his money and, within five years, was able to purchase a home with his brother.

In short, within a very short period of time, Julieta's father was able to achieve the American Dream. The family still owns that home. Julieta worked hard because, as she described,

I wanted to give my family a better future. My goal was to be the first to graduate from college, to be able to get a degree, to have that better job, and be able to buy the things that my parents couldn't have.

A whole new world. When it came time to apply to college, there was nobody around to mentor Julieta. Consequently, she did not know that she needed to take standardized achievement tests or how to put together her application; however, she did know that she could easily enroll in community college, and that is what she did. She graduated from high school on a Friday and, three days later, enrolled in summer classes at a community college. She eventually transferred to California State University where she majored in Business Administration with a concentration in International Business.

Julieta once again seized every opportunity that came her way. While in college she was a founding mother of a sorority serving Latina women. She served in student leadership positions within her school of business and was president of the Latino Business Student Association. She also accepted a year-long internship with a regulatory commission in Washington D.C., a choice that paved the way for a life of public service.

While in D.C., Julieta lived with a well-connected colleague who regularly took her to events at the White House, the Smithsonian, and other places of national interest. She was in heaven! Julieta recalled,

You know how people go to Hollywood and they get starstruck? I was politically starstruck. When I got there, it was the Iran–Contra Hearings. It was the Oliver North time period. A lot of things were happening, but I was just in awe of all of it.

Julieta's public service career has spanned many different agencies and branches of government. After graduating from college Julieta worked as a language specialist in the Executive Office for Immigration Review. She translated in court for Spanish-speaking individuals and coordinated translation services for those speaking other languages.

While this work was deeply meaningful for Julieta and provided her with an opportunity to learn about immigration law, her father felt she was not using her college degree. She agreed with him and, eventually, went to work for the California Department of Finance where, in her mid-twenties, she was responsible for putting together budgets for state agencies. Once again, Julieta was in heaven! To Julieta, this was the "D.C. of California." Not only was the work fascinating but Julieta was able to meet senators, assemblymen and women, and many people she termed "movers and shakers" in Sacramento. It was, as she described, "a very, very powerful and exciting time period."

Unfortunately, Julieta's time at the Department of Finance was short-lived. One of her family members had a health concern which required Julieta's attention. She transferred from the Department of Finance to the Department of Social Services, first, in Sacramento and, then, eventually, back in her home town. In this role, Julieta received the same pay, did the same type of work, but was able to work normal business hours, freeing up her evenings and weekends for family concerns. This is the first of several times Julieta placed her career and her personal goals, on hold in order to attend to family.

A turning point. When Julieta came home to live with her family, she seized the opportunity to restart her life in her childhood town. She saved money and, within one

year, bought her first condo. She also sought out new learning opportunities. She applied for and was accepted into a nine-month political training program for Latina women. She recalled,

[The program] was very instrumental, I think. It provided me with a lot of training. They took us to Washington DC to also connect with the Washington DC network. During that time in 2002, I don't know who it was but they always have speakers like our current president or Prime minister of another country or always the high-profile speaker and you're able to meet all your congressional members. Oh, it was just exciting. Exciting as I can't even tell you.

She learned everything she could about government systems and took advantage of every opportunity to meet elected officials. This training program inspired Julieta to consider running for political office. It was while these aspirations were brewing that something happened to change Julieta's life forever.

The accident. In 2003, Julieta was in a major car accident. She crashed head-on into a tree, totaling her car. She almost died. The recovery process, which was difficult both emotionally and physically, took about ten years and included four major surgeries. She was in a wheelchair or used walkers for much of that time until she eventually learned to walk again. It was a trying decade, and Julieta, who felt she was surrendering the prime of her life to the recovery process, struggled to keep herself from falling into deep depression. She protected herself emotionally and psychologically by engaging with and helping others. As soon as she was physically able, she became involved in nonprofit organizations and began attending conferences such as the California Women's Conference.

She is grateful that she had a second chance and that, as the result of this injury, she has come to understand, firsthand, the challenges faced by those with disabilities. She began to think differently about the simple things she once took for granted, like being able to get on and off of a train without assistance. She learned about the Americans with Disabilities Act (ADA) and saw the ways in which people with disabilities were discriminated against. She said,

You look at people in wheelchairs and you look at people that could barely walk or talk or people that have a disability, they're treated like third-class citizens.

Nobody wants to talk to them. Nobody wants to be with them. Nobody wants to deal with them. You're no longer part of society. Society rejects you.

Ever the go-getter, Julieta seized the opportunity presented to her. The car accident turned her into a champion of ADA rights and, at the same time, pointed her back to her own roots as a community organizer. As she said,

After the accident, I thought, "Now I have a more important reason to make a difference because life, to me, is ... it took on a different meaning for me. I was fully enjoying and fully taking advantage of every day of my life because I knew that, tomorrow, I could die, and so then I said, "I'm going to make things happen.

I am definitely going to make things happen."

Julieta joined the board of a youth development organization and enrolled in a Master's degree in nonprofit management.

Julieta was once again in the middle of all of the action and loving it. And, once again, family health issues emerged. Julieta's father passed away. While she was caring for him, she was also a full-time student, working full time, and, as she described it, the

volunteer “President slash CEO slash All of the Above” for the nonprofit organization. Something had to give, and the decision was made for Julieta; to her dismay, the master’s program dropped her from the program.

Despite the setback, Julieta persevered. Her career continued to progress, with Julieta now serving as auditor for the State of California. She travels around the United States auditing Fortune 500 companies. This job requires her to review the facts, remain objective, and, above all, maintain confidentiality. Ever the learner, she elected to be trained as a tax-preparer and now, in addition to her full time job, prepares taxes seasonally for extra income and in preparation for retirement.

In addition to these paying positions, she continues her philanthropic work. Julieta said that, for her, philanthropy “is not just about money. It’s about information, knowledge, skills, time, [and] mentorship. It’s about legacy.” She stated that philanthropy is a “concept we’re born with,” and a vital part of her everyday life. Julieta remembers as a child, for example, when her family took in a family in distress. Her father cared for this other family as if they were his own. She said, “We’re giving our clothes. We’re giving our money. We’re giving our food.” In short, for Julieta, philanthropy is personal, and it is a way of life.

The leadership challenge. Several years ago, Julieta faced what she found to be a monumental leadership challenge while volunteering as the President/CEO of a small nonprofit youth development organization. The specific leadership challenge she faced involved a management decision which, potentially, would have had severe legal ramifications if it had not been handled correctly. She had to follow proper protocol, including maintaining confidentiality for all parties; but, luckily, as an auditor for the

State of California, Julieta knew a thing or two about following protocol. In fact, it was her top priority not just in this situation but in leading the organization in general. She said that, overall, her job as President/CEO of that organization was to “make sure that we were covered—that we followed—policies, that we had no liabilities, that we hired staff and trained staff, promoted staff, paid the right salaries, [and] paid the vendors.”

As she decided how to handle the specific leadership challenge, the details of which she has asked not to be recounted here, Julieta paid close attention to the legal issues at play. She followed all of the proper protocol, including honoring the confidentiality of the individuals involved. Unfortunately, by honoring confidentiality, Julieta found she was unable to sufficiently explain the situation to the board. Some of the board members were unclear about what had transpired and questioned her actions in ways Julieta felt were attacking her personally. The stress of this experience—specifically, the tension between following proper protocol and leading the board through the situation even when the board could not know all of the details—put Julieta in the hospital several times. To this day, she still asks herself,

How do you handle the procedures, maintain confidentiality . . . , maintain the trust and loyalty with the board of directors knowing that I’m not doing anything unethical, illegal, or unprofessional? We’re just doing the best that we can, but how do you get all that across?

Julieta still wonders.

Entering the political life. Before the car accident, Julieta was planning to run for government office. She said wanted to create “change. Help the system. Help the

situation.” Unfortunately, the car accident derailed her dreams of becoming an elected official, but it did not keep her out of politics.

She has recently begun serving on boards and commissions for her local city government. Her first stint was as a commissioner for her city. On that commission, she advocated for low-income, Spanish-speaking residents who were receiving notifications of rent increases in English. These residents, most of which were on a fixed-income, were issued rent increases and being given violations for offenses they did not even know they had committed. Julieta fought to ensure all notices were provided in both Spanish and English and to speak in Spanish with the Spanish-speaking residents who came to speak to the commission. Many of these residents were in a very difficult position, and, while she could not change the situation, she could make sure they were adequately informed.

Julieta is currently serving on an Ethics Commission for her city government and is excited that her first case has been scheduled. Of course, as she said, “It’s not that you want cases,” but she is enthusiastic about the opportunity to serve. Julieta imagines that the violations that come before the commission will be serious, and she said, “I want to be there to do due diligence, to gather the facts, correctly analyze, [and] provide results regardless of who may be happy or not.”

Looking farther ahead. Julieta has become an expert on just about everything. She has learned about government processes at multiple levels and is well-versed in issues of social services, immigration, provisions of the Americans with Disabilities Act, and many other issues. Julieta realizes that her life experiences are unusual. Most people do not have the type of insider’s view of the government or social services to which she has had access, and she knows she can use her relatively unique insights to help others.

Additionally, because of her experiences as an immigrant, an English language learner, and a business woman, she has a wealth of knowledge she would like to share. As she said,

If I see you and you tell me of an issue that you have, I will go through my computer brain, here, and go, "She needs to call 211 for resources for housing because she's having issues there. For the bill payment that she can't [pay], I'm going to have her talk to [Name of Nonprofit] and see if they can give her some subsidy."

As busy as she is and as young as she feels, Julieta is looking ahead to retirement. She worries that she will not know what to do with her time, and is considering doing more nonprofit work, focusing on tax preparation, traveling, or joining the Peace Corps. As she said with gusto, "I have a need to help."

Part II: Theory-Based Analysis

Julieta is operating out of an Expert action logic. The characteristics of all action logics were presented previously in Table 7. The characteristics of the Expert action logic are reproduced, here, in Table 9. The discussion that follows will be organized around the characteristics of an Expert.

Table 9

Core characteristics of the Expert action logic

Action Logic	Core Characteristics
Expert	<ul style="list-style-type: none"> • Interested in solving problems within the logic of their craft • Makes decisions based on technical merit • Chooses short-term efficiency over long-term effectiveness • Can be a perfectionist and, thus, susceptible to burnout • Open to feedback from craft masters

Source: Adapted from Torbert, 2004; Rooke & Torbert, 2005

An Expert is interested in solving problems within the logic of their craft.

Julieta exhibits this characteristic of the Expert. Her current work as an Ethics Commissioner for her city is one example of this problem-solving orientation. As a member of this committee, she reviews ethics violations allegedly committed by elected officials. She said that “working as an auditor . . . has given me enough background and experience to be non-biased about information” and that she “wants to be there to do due diligence, to gather the facts, correctly analyze, [and] provide results regardless of who may be happy or not.” Her eyes lit up as she talked about this work, and said, “It's exciting because someone is actually using the rules and regulations.” When I inquired about cases where the rules might not be appropriate to follow, she was quick to say that some rules—such as cultural rules about families—are okay to break, but this is different or, as she said, “this is legal.” Julieta’s enthusiasm for “correctly” analyzing ethical issues—some of which may more complex and less clear cut than she seems to expect—is indicative of an Expert action logic.

An Expert makes decisions based on technical merit. Experts approach decision making technically, and Julieta also fits this characteristic of Experts. Early in the first interview, Julieta said, “I'm all into the whole leadership arena.” However, over the course of the two interviews, she continued to focus on the technical aspects of leading more commonly associated with management. One example of this tendency is how she handled a difficult management decision when she was the President/CEO of a youth development nonprofit. Julieta said her job, in general, was to “make sure that we were covered [legally], that we followed policies, that we had no liabilities, that we hired staff and trained staff, promoted staff, paid the right salaries, paid the vendors.” In this

situation, the details of which she has asked not be publicized, she had to make a difficult management decision. She made and executed this decision by following all proper protocol. In this instance, however, following protocol was insufficient. As the leader of the board, she needed also to explain the situation to the board. To her dismay, issues of confidentiality meant that not all details could be disclosed. She was stuck. Julieta was unable to find a creative way to explain the situation—without revealing confidential details—to the board. Instead, she described being baffled by the board’s inability to trust her leadership on a decision that, in her mind, was technically correct.

Her confusion is characteristic of an Expert who, according to the literature, is oriented toward the technical merits of a decision rather than to the process of leading individuals who may need help understanding the situation. In fact, when the board members questioned Julieta’s decision, she took the questioning personally and assumed the board members were challenging her technical competence. At no time in the interviews did she discuss the ways in which her leadership style may have affected the board’s reaction. Her stance was firm: she had made the right decision in regard to a difficult situation and, in her mind, making the “right decision” was all that mattered. To this day, she still wonders how the board did not see the correctness of her decision.

An Expert chooses efficiency over effectiveness. Focusing on efficiency rather than effectiveness is another characteristic of Experts; consequently, when faced with a problem, Experts seek short-term, technically-sound solutions. Julieta certainly exhibited this characteristic.

Over the past few decades, for example, Julieta attended numerous conferences, training sessions, and workshops that have taught her about leadership and have equipped

her with myriad technical skills. She soaked up these opportunities like a sponge, absorbing all of the knowledge she could. These facts were stored in what she called her “computer brain,” and are available for retrieval upon demand. She stated,

If I see you and you tell me of an issue that you have, I will go through my computer brain here and go, "She needs to call 211 for resources for housing because she's having issues there. For the bill payment that she can't, I'm going to have her talk to [Name of Nonprofit] and see if they can give her some subsidy."

In this statement, it is evident that Julieta is interested in solving problems as quickly and efficiently as possible; however, the problem is only solved in the short term. The person helped may, as the result of Julieta’s referral, receive a temporary subsidy and the problem may have been temporarily alleviated; however, the person receiving Julieta’s assistance undoubtedly will still need the same sort of help a year later. Julieta discussed many situations comparable to the situation she described in the above quote, i.e., situations in which she solved problems efficiently (i.e., met immediate needs as soon as possible). She did not discuss situations where she sought longer-term and more permanent solutions by addressing the root causes that created the problem and are likely to re-create them in the future.

An Expert can be a perfectionist and, thus, susceptible to burnout. Experts tend to be victims of their own perfectionism and, as a result, are susceptible to self-generated stress. Julieta exhibited this characteristic of the Expert action logic. One example of how Julieta’s perfectionism resulted in burnout occurred during her tenure as President/CEO of the youth development organization nonprofit organization. Julieta was

forced to deal with a difficult situation and, true to the Expert action logic, she focused on ensuring that proper protocol were followed and that her actions were legally sound.

In Julieta's mind, she was dealing with the problem in the best way possible; she was doing the right thing the right way. Julieta's focus on the technical aspects of the situation were, of course, warranted; however, she neglected to exercise leadership in regard to the board of directors. The board could have been a support system and a sounding board for her; but, instead, they added to her already heavy burden. The pressure of having to managing the legally complex situation and, simultaneously, deal with what she perceived to be a subversive board was too much, and Julieta ended up in the hospital with stress-related symptoms on several occasions.

An Expert is open to feedback from craft masters. An Expert is open to feedback from people she considers an expert but, in general, is not interested in feedback from others. Julieta, in general, did not describe seeking or integrating feedback in regard to her philanthropy or her professional life. For example, she did not discuss the ways in which she had used information to change her perspective nor was she open to interview probing that invited her to reconsider her ideas. She did, however, offer examples of times when she had given unsolicited advice to others and, at one point, even gave advice to me, the interviewer. She also discussed receiving and giving advice between family members. The advice exchanged within the family was typically oriented to how one should live one's life and, in this, there were strong ideas about what members should or should not do.

One example of both Julieta's giving unsolicited advice and her reluctance to reconsider her own ideas occurred when Julieta mentioned that her niece was about to

return from a 30-day trip to Asia with a male friend. Julieta stated she believed the trip “to be absolutely wrong.” Julieta was concerned that a) her niece was traveling with a male companion and b) going on a whim and without planning or considering her safety. Her niece’s behavior was breaking all kinds of social and cultural rules. As Julieta stressed, “There's all these things that, again, those rules.” Curious about her staunch position, I probed. I knew that Julieta had traveled through Europe with her female friends after college, and I gently reminded her of this by saying, “But you broke the rules when you were growing up.” Julieta explained her reasoning:

Although there's certain rules that society has already set for me to follow, as long as I felt that I wasn't doing anything wrong I would follow my pathway but still keeping in mind to be respectful to my parents. Even though she's not married and I'm not married, the fact that [she] went on this trip with this guy that, in itself, breaks the rules. I mean if her family was against her, grandmother was against it, I was against it, all of us were all against it, and it didn't matter [to her]. She went and took off and left. She returns next week and she comes back. It's something that can never be taken away from her. She's going to be in heaven and I know that. The point is, there's rules to follow because we have your best interest.

Julieta’s response indicates that she believes there are certain people—in this example, the family—who can be trusted to provide good advice and that, in general, rules should be followed. Her reaction to my probe, which invited her to reconsider her reaction, also indicates an overall defensiveness toward feedback which is evident of an Expert action logic.

Conclusion. In conclusion, Julieta exhibits many of the characteristics of the Expert action logic. For example, she is interested in solving problems within the logic of her craft; makes decisions based on technical criteria; chooses short-term efficiency over longer-term effectiveness; can be a perfectionist and, thus, susceptible to burnout; and is open to feedback from people she considers to be craft masters. Her particular expression of the Expert action logic is likely reinforced by her choice of profession as an auditor and, most recently, as a part-time income tax return preparer.

CHAPTER 5:

ANALYSIS OF CASES #3 AND #4

Case #3: Joseph: Leading Through Leverage

For Joseph, philanthropy is the business of solving social problems. It involves, as he described, “bringing business, accountability, and focus into nonprofits, and giving them strategy.” Now in his mid-sixties and retired, philanthropy is front and center in Joseph’s thoughts and actions, and bringing a business sensibility to nonprofit organizations is as important to him as was running any of the many for-profit companies he started during his career in real estate development. One could say he has a new career: helping nonprofits to become financially self-sustaining and to produce outcomes related to their missions.

It was not always this way. In fact, Joseph’s first act of charity was committed under protest. For his 10th birthday, he received a most precious gift: one of the earliest stereophonic sound systems, complete with a cord that stretched one of the speakers at least ten feet. What a treat! Shortly after receiving this gift, his mother informed him that he was going to take the record player and be the disc jockey for an annual dance at an organization for blind children where she volunteered. The rub? The dance was on Saturday afternoon, the same time as Joseph’s baseball. Like many 10-year-old boys, Joseph was not happy about missing his Saturday afternoon baseball game. He refused, and the record player was promptly confiscated in what Joseph recalls as a standoff that lasted all week. Mom won. Joseph disc jockeyed the annual dance and, afterward, happily returned to his baseball-playing, pre-teen life.

This event did not have an immediate impact on Joseph, but the overall impression of watching both his parents regularly volunteer did make a difference. In addition to volunteering at the organization for blind children, his mother also started an adult literacy program. In fact, Joseph's mom volunteered throughout her life and well into her 80s. The only years she did not volunteer were the 10 years she cared for her then-ailing husband before he passed.

Joseph's father also volunteered but, to this day, Joseph is not sure what exactly he did. Joseph's dad was out of the house two Thursday nights a month "helping other little boys." Joseph assumed his father was playing baseball with those boys but now, as an adult, imagines he was probably on the board of two organizations that happened to both meet on Thursday evenings. Joseph remembers wondering, "Why is [dad] helping other little boys? Why isn't he helping me?"

As Joseph grew up, philanthropy shifted from being something his parents did to being something he did willingly and enthusiastically. He volunteered for his high school community service club and, in his early college years, applied for a job at a Diagnostic Center for children with behavioral difficulties. The children spent the day taking diagnostic tests and, in the evening, Joseph would play basketball or volleyball with them. He was encouraged by staff to recruit his friends and, eventually, Joseph had arranged for enough friends to play with the children that every night of the week was covered. The "job" at the Diagnostic Center was actually a volunteer position and, through the staffs' encouragement to invite his friends, Joseph's first taste at recruiting others to give.

Joseph's father, a Jewish chemical engineer turned hotel and apartment owner, encouraged Joseph to get a law degree. Joseph described the Socratic Method used in law schools as "barbaric" and struggled through a year and a half of legal education before dropping out. But, it was just enough law school to convince him that he could use his brain to make a difference. In law school, he immediately volunteered with Legal Aid and became, as he describes it, a want-to-be "street lawyer" in his early 20's. He described his first case as a mentally "slow" gentleman who had been wrongly institutionalized by his three sisters who wanted to avoid dividing the family assets four ways. Working with the Legal Aid lawyer, Joseph researched the statutes on institutionalization and, realizing their inadequacy, he drafted legislation that was eventually passed by the state legislature. The legislation required the signatures of two doctors, one of which had to be a psychiatrist, before an individual could be committed.

Despite this legislative success, Joseph's father believed that his law-school dropout son had failed. He said to Joseph, "I guess I'll hire you. Nobody else will." Joseph spent the next 30 years working 100 hours a week to prove his father wrong. That one comment unleashed a zeal that eventually led Joseph to start four construction and real estate development companies, dabble in the restaurant business, launch three nonprofits, and, as he only half-jokingly described, "flunk retirement."

It was around this time that Joseph also decided that he wanted to be financially successful but he did not need to be lavish or extravagant in spending his wealth; philanthropy was equally important to him. By anyone's standards, Joseph has become both a successful business man, and a generous philanthropist, giving his time, treasures, and talent to a variety of causes and organizations. Described by friends as an altruist,

Joseph said he, “always had a soft spot for children, elderly, and people who go the short end of the [stick].” Given his parents’ involvement in philanthropy, he was likely destined for a philanthropically-active life, but one experience, in particular, deeply molded the expression of Joseph’s future philanthropic activities.

Learning the power of leverage. In his early thirties, Joseph began to combine his philanthropic experiences with the business acumen he was developing as an up-and-coming professional on Philadelphia’s construction scene. He was invited by a friend of his father to attend a fundraiser and, eventually, join the Board of Directors for the Foundation for Strong Young Men in Philadelphia. The 501(c)3 nonprofit organization was founded by the former manager of a retired world champion boxer who would, on occasion, come down and box with the youth. The organization’s primary program, Operation Crossroads, attempted to reach children by the time they were five years old. In that gang-infested neighborhood, Joseph noted, “if you didn’t reach a child by the time he was five years old, he was lost to the gang.”

When Joseph stepped into his first board meeting, he was shocked. He had expected to see, sitting around the table, other people like him: young, enthusiastic, and somewhat inexperienced. Instead, he saw a dream team of sorts. Other board members included senior leaders from companies such as McDonald’s, Beatrice Foods, Quaker Oats, and Sara Lee. An ambitious young man, Joseph thought, “I don’t belong here, but I’ll stay as long as I can.”

As it turns out, Joseph did belong. He had something to add that no other board member could contribute: leverage in the construction industry. The organization owned a 100 year-old building that was constantly in need of repairs. Because it was located in a

distressed neighborhood, the organization was having trouble finding people willing to repair it at a reasonable cost. Joseph said, "I can fix that." He proceeded to negotiate with his company's suppliers: he told vendors, "You can have this job [for my company], if you go out and do [the Foundation for Strong Young Men] job." At first, the suppliers were afraid to enter the neighborhood. The Foundation needed to promise safe passage to ensure that trucks would not be stolen and that workers would not be killed. However, in the end, Joseph was able to arrange for the completion of about \$150,000 in fairly-priced construction work, or, what he estimates would be about \$500,000 to \$1 million in 2014 dollars.

At the same time, Joseph was learning ways in which business principles might be used in public education. The Board of the Foundation for Strong Young Men observed sadly that many of the 5 year-old youth they had worked with were dropping out of high school as they got older. The organization wanted to be a magnet for bringing the kids back. The organization's counselors had strong relationships with the youth and decided to create a high school just for these youth. Members were confident in their abilities and dismayed at the state of public education. Joseph stated, "We set out to embarrass the Board of Education by educating kids twice as well for half of the cost." The board raised \$5 to \$10 million dollars from a variety of corporations. The local school system supplied teachers, and the Foundation for Strong Young Men provided the school's counselors. After about three years of successful operation, the board realized they were not in the business of education and decided to give the school back to the school system. "They took it back," Joseph said, "and, within three years, they totally dismantled it. It just fell apart." That is where Joseph believes he got his distaste for public educators.

In the early 1980s, long before the term “social enterprise” entered the popular vernacular, a social enterprise fell into the laps of the board members when a local McDonald’s franchise became the first of its kind to fail. The franchise was located in the same neighborhood as the organization and had failed because the largely black neighborhood picketed the Jewish owner. The botched franchise was gifted – half went to the Foundation for Strong Young Men and half went to another, similar organization. The Foundation for Strong Young Men quickly assembled a high-powered team to run the franchise, each board member lending individuals from their high-profile companies to develop the core competencies of marketing, sales, and operations. Within two years, the once-failing McDonalds was making a profit of \$250,000 a year.

Joining the board of the Foundation for Strong Young Men was a turning point for Joseph. It was the first time he had a taste of the power of leverage: He was able to draw on his construction industry contacts and his fellow board members were able to draw on their company expertise to move the organization forward. He also began to see the ways in which business models could be adopted by the nonprofit sector (for example, in running the social enterprise), and began to be disillusioned with those who did not see what he saw.

In fact, that’s probably where I learned, though I didn’t realize it at the time, that there’s a basic distrust between the business community and the non-profit board. The non-profit board says, ‘Screw the business community. They only care about making money.’ The business community says, ‘Screw the nonprofit world. They waste 80 cents of every dollar.’ My pitch, by the time I built my first

nonprofit, was, ‘You’re both right, and you’re both wrong. Think of the power, if the two of you came together.’

The lessons of turbulence. When Joseph was in his fifties, he went through a patch of turbulence in both his business and personal life. By this time, he had built three successful construction companies and moved to Southern California in search of better weather and an opportunity to build his fourth company which he hoped would generate the profits that would support his retirement. It seemed easy enough to do, especially given the ripe real estate market in the Golden State. However, as Joseph quickly learned, established land developers did not welcome newcomers. It was impossible to find deals in lucrative downtown areas and most of the more rural land available for subdivisions had already been rejected by savvy developers. It took Joseph three years to find a development deal worth pursuing.

During this time, Joseph was introduced to and quickly became disillusioned with the state of philanthropy in the community that had become his home. He observed that many nonprofits worked all year to plan an event they hoped would generate \$100,000 gross revenue. Compared to the east coast, where nonprofits would not pursue an event that did not net a minimum of \$100,000, Joseph felt the local philanthropists were amateurs and “just playing at it.” Instead of engaging in philanthropy or board service, he joined a high-profile mentoring network of CEO’s.

Around this same time, his 15 year-old daughter started to have trouble with drugs, psychedelic mushrooms to be specific. Neither he nor his ex-wife knew what to do. After some quick research, Joseph secured a bed for his daughter in one of two adolescent-serving treatment facilities in his newly adopted community. During the next

six months, he searched desperately for ways to help his daughter. He tried everything, even consulting with the Surgeon General and the President of the National Institute of Drug Abuse. “No one knew what to do,” he has said, “except a little mother at a support group meeting.” In short, it was the advice of a fellow parent that eventually helped Joseph help his daughter.

Then, Joseph did what he knew best: he started an organization. He went back to the parent support group in which he had found help in dealing with his daughter’s drug problems and said to its members, “I’ve got this crazy idea. I got better information from you than I got from all of those honchos in Washington. What would you think about starting a nonprofit to help parents deal with their kids?” The parents, of course, looked at Joseph as if he was the one on drugs; but, Joseph persevered. The organization he founded, the Family Recovery Group, provided support for both parents and adolescents dealing with teen drug abuse. Each group—parents and teens—received support with their peers and, twice a month, the two groups were brought together. The program was an instant success. It started with 25 families and, within four years, it had engaged 250 families in five locations.

As Joseph sought more publicity for the organization, in the process of casting his net for donors, he found that more and more families came for help. As more families came to the organization for help, he had to work harder to raise money. It was a vicious cycle, one in which Joseph did not want to become stuck. Perhaps, he thought, it would be better to focus on prevention rather than working with parents and teens already experiencing the challenges of drug abuse. He and a veterinarian friend wrote a grant proposal and were awarded a federal grant for \$150,000, payable as \$50,000 a year for

three years. With this money Joseph and his friend launched what would become one of the largest anti-drug coalitions in the country. He also went on to launch a third nonprofit, a prevention coalition that operated bi-nationally in the United States and Mexico.

These were difficult years. “I’d worked harder as a volunteer than I’d ever worked,” Joseph stated, “and I didn’t see a solution in sight, for the same reason nonprofits don’t work today. They don’t have sustainable revenue.” What would a solution look like? Joseph’s answer: “A revenue model, another McDonald’s or five McDonald’s - not galas and people begging for money.”

Joseph did not have the money to hire staff. He was always operating on a shoestring. Eventually, he shut the Family Recovery Group down. Joseph wanted to also shut down the two coalitions he had founded but board members from each two organizations disagreed. Joseph formally left the organizations and moved on to his next challenge.

A new model of philanthropy. On the recommendation of an elected official’s staff member, Joseph contacted two local women who were interested in started something called a Social Venture Partners (SVP) chapter in the area. When he learned about SVP, Joseph’s ears immediately perked up. Here was a model that might work.

According to Joseph, the Social Venture Partners (SVP) chapter began in 2001 with 25 people: 12 couples and one single individual. It has since grown to more than 400 philanthropists giving more than 90,000 volunteer hours and, over the years since its founding, \$14 million dollars in funds and consulting services to local nonprofits. Talk about leverage! Joseph certainly did:

Whatever I do is worth X. If I bring you in and you start doing it, it's worth 2X. If I bring in 150 in, it's 150X. By basically finding business people who were successful, who wanted to give back to the community, we could help them give back much more effectively.

Not only do the partners give via SVP, but, as they find their passion, they are encouraged to assume board leadership roles in other nonprofits. According to Joseph,

We want them to learn that there are 12,000 nonprofits in [this city], and 11,000 of them should probably go away. Every one of those organizations, while they are passion-rich, they are strategy-poor. They are sopping up resources—dollars and board members—for organizations that will never become sustainable or scaled.

To explain what he believes should happen, Joseph recalls an example of a local nonprofit organization that reached out to a similar organization that was struggling financially. The stronger organization purchased the assets of the weaker organization, merging the two into one, stronger organization. Over the course of a number of years, that CEO went on to acquire 17 more organizations and bring them under “one very powerful board and one very strong staff.” Joseph stated:

There's no reason to have . . . save the whales, save the dolphins, save the penguins, save the beaches, all these small, independent organizations when a good executive director could run all those organizations and the rest would be programs. They would have branding and they would have funding.

As a business man, Joseph believes organizational mergers and acquisitions make financial sense for both the acquiring and the acquired company. The acquiring company

strengthens its brand and services. The acquired company receives an infusion of capital and support that allows its mission to continue and, hopefully, thrive when it otherwise might not have survived. In the for-profit world, there is also a financial incentive for the for-profit-CEO of the acquired company to merge. That financial incentive does not exist for nonprofit CEOs and may be one of the reasons nonprofits do not merge as often as Joseph believes they should. “The problem,” according to Joseph, “is that you have two passionate executive directors and neither one of them is willing to fall on his sword.” Joseph finds it unfortunate that, in the nonprofit sector, one often has to wait until the CEO gets tired, fired, or financially in trouble before conversations about merging can happen.

In addition to his work locally, Joseph is taking the SVP model worldwide. He served on the board of SVP international for six years and, in that position, helped develop a strategic plan that called for SVP chapters to be in 100 major markets by the year 2020. At first, the SVP had to sell itself. Now, donors are coming to SVP chapters all over the world. People are excited about this because, Joseph believes, “Business people who were enticed to go on nonprofit boards quickly realized the futility. . . . Regardless of who you are and what skills you have, a nonprofit board wants you to ask your friends for money.” Few nonprofits, Joseph lamented, know how to capitalize on the skills of board members. These frustrated board members now become the “farm team” for SVP.

Collective impact: His new frontier. Joseph’s current philanthropic frontier is stewarding what he characterizes as collective impact, a term he realizes is often overused. He is working primarily as a board member for a startup nonprofit

organization, Impact Education (IE). This organization was started after a six-month long, in-depth study to determine if yet another nonprofit was needed. The answer was yes and, in just over a year, IE has raised \$800,000 and is currently applying for a \$15 million grant. Joseph stated, “We’re about transforming education. We have best practices around the country that are not being done here, and [we’re going to] bring money from outside [of the area] to fund them.”

Joseph compares this work to that of his previous work on education with the Foundation for Strong Young Men: “I was a baby. I didn’t know anything about governance. I didn’t know much about outcomes. It was one organization putting a Band-Aid on an educational system that wasn’t working.” Joseph’s IE effort, he believes, is much different from his earlier experiences. IE has already brought together two superintendents (one retired) and is partnering with at least five local school districts.

In the past, both Joseph and SVP have shied away from collaborations. Early experience taught him that “collaboration means nobody is in charge.” Recently, he has learned that the absence of someone in charge is not a weakness but a strength since leadership today is not what it used to be. Joseph understands that, today, he cannot lead a collaboration with the same command-and-control tactics that worked for him in business in the past; instead, collaboration must be made attractive to each of the members of the collaborative. The trick is getting everyone on the same page to accomplish a shared vision.

The two most crucial elements to the success of IE, according to Joseph, are 1) securing funding and 2) garnering enough small wins in the beginning. If IE can

successfully secure high-profile grants and post enough early achievements, he thinks the naysayers will be transformed into believers.

Joseph believes in—and is most excited—by IE’s potential for large-scale outcomes. As with most organizations, IE will not be able to demonstrate outcomes right away. It will take time. Joseph finds it interesting that after years of teaching philanthropists to ask about outcomes, he is asking them to realize that there will be outcomes, but just not yet. And the first outcomes that arrive will be process outcomes which, as he said, “everybody used to complain about.”

As it turns out, leading his collective impact organization, IE, is not all that different from other types of leadership Joseph has been engaged in recently, most notably with SVP. Joseph has personally recruited more than 150 partners who are, as he describes, C-Level executives and Type A personalities. “You cannot lead them,” he said, “the best you can do is find out what they are interested in and then point them in the direction and then hope for the best. ... which is very contrary to what I did as a CEO.” And, prior to SVP, Joseph had already learned the hard way that he could not run a coalition the way he ran his companies. He recalled that the Prevention Coalition he built turned against him because, as he described, he tried to run it like it was his own personal corporation.

So, with IE, it is really about shared vision. It is also about having opportunities to see something great begin to grow. Joseph is especially excited about the prospect of enacting real change in the local school system, the type of change he was unable to produce at the Strong Young Men Foundation.

Seeing growth. A lot has changed for Joseph since he, as a 10 year old boy, played DJ at a dance for blind children. Even his thinking has changed somewhat. For example, Joseph once had the opportunity to shadow a school principal for a day. After previously thinking, as so many people do, “Why can’t they get more done?” he began to understand the complexities of the job. “I spent a day seeing the kind of crap they have to deal with and what takes them away from the important stuff,” he stated. This created in him a tremendous distrust of the educational system. He thought, “It’s a shame they can’t do it, but it doesn’t apply to me. It’s their problem.” He believed this for many years, even putting his children in private school. Eventually, he came to realize that the challenges of the public education system were, in fact, his problem, when, as an employer, he could not find sufficient qualified employees.

Today, nothing is more exciting to Joseph than watching organizations grow. “I’ve founded a number of companies and organizations and when they grow, either [they] have more impact or more sustainability or more people getting involved. That’s a great sense of satisfaction because I’m all about leverage.”

Joseph may have what he calls a soft spot for children and the elderly but, for Joseph, it is the organization he is interested in. His philanthropic talent is growing the organizations that make a difference. In fact, when asked to share a specific story that touched him, he spoke not of an actual client but of helping a nonprofit executive director understand the power of telling stories and of helping one of the leaders of IE understand the power of stories.

Joseph is careful to watch over the people he has recruited to SVP and tries to make sure they have good experiences. If possible, he tries to find out their passion and

suggest ways to connect to the types of organizations or committees that focus on that passion. After all, each SVP member is, as scholar Paul Schervish describes, a potential hyper agent—someone who has resources, connections, and the ability to make things happen. That is a lot of leverage for Joseph to unleash.

Part II: Theory-Based Analysis

Joseph exhibits the characteristics of an Achiever action logic. The characteristics of the Achiever action logic were presented in Table 7 and are summarized in Table 10.

The discussion that follows will be organized around the characteristics listed in the table.

Table 10

Core characteristics of the Achiever action logic

Action Logic	Core Characteristics
Achiever	<ul style="list-style-type: none"> • Is interested in results and effectiveness • Sees him/herself as initiator in establishing and working towards long-term goals and outcomes • Is drawn to learning (and leading) across disciplines • Is aware of his/her own pattern of behavior but does not question that pattern • Seeks feedback from those deemed worthy to provide feedback; uses feedback to determine if s/he is meeting self-defined standards and goals

Source: Adapted from Torbert, 2004; Rooke & Torbert, 2005

The Achiever is interested in results and effectiveness. Joseph clearly demonstrates the Achiever’s concern with results and effectiveness. His philanthropic contributions, in fact, are focused on improving the organizational capacity and, more specifically, the financial sustainability of nonprofits in order to more effectively achieve programmatic outcomes. In his own words, Joseph believes in “bringing business, accountability and focus into nonprofits, and giving them strategy.”

One example of this focus on results and effectiveness appeared when Joseph was asked what he wanted philanthropists to learn about giving to nonprofit organizations. He stated:

We want them to learn that there are 12,000 nonprofits in [this city], and 11,000 of them should probably go away. Every one of those organizations, while they are passion-rich, they are strategy-poor. They are sopping up resources—dollars and board members—for organizations that will never become sustainable or scaled.

As this statement implies, Joseph believes that many of the current nonprofits should merge together under what he described as “one very powerful board and one very strong staff.” Joseph argued that such mergers would improve branding, fundraising, and other strategic management capacities as well as an organization’s bottom line: programmatic effectiveness. Overall, this hyper focus on increasing the results and effectiveness of nonprofit organizations is characteristic of an Achiever.

The Achiever sees him/herself as an initiator in establishing and working towards long-term goals and outcomes. Joseph also sees himself as the initiator in working toward long-term goals and outcomes. He takes the lead in many areas of his philanthropy, including being a founding member of a local Social Venture Partners chapter, recruiting approximately 150 SVP members, and helping to establish SVP chapters internationally. However, it is his newest philanthropic endeavor which most illustrates how Joseph plays the initiator role.

Joseph is currently working on a collective impact initiative designed to improve education and to attract multi-million dollar grants from outside of his region to schools

in his region. When asked what most excited him about this initiative, Joseph stated, “I guess it's my own journey of working with organizations around programs, to working with organizations around outcomes, to creating the next generation of philanthropists, to solving a huge, thus far insurmountable, problem.” He reflected on the work he had done with the Better Boys Foundation in his thirties, and said, “I was a baby. I'd never been on a nonprofit board. I didn't know anything about governments. I didn't know very much about outcomes. It was one organization putting a Band-Aid on an educational system that wasn't working.” Now, approximately four decades later, Joseph knows how to establish and work toward outcomes; and he feels he is ready to really initiate change in an educational system.

The sub-text of this conversation is that Joseph's background, specifically, his business training, has prepared him to exercise much needed leadership in education. The story he tells about the region-wide educational initiative with which he is involved is that he is finally in a position to help lead his region to achieve large-scale educational outcomes. This self-as-initiator storyline is consistent with an Achiever action logic.

The Achiever is drawn to learning (and leading) across disciplines. Joseph fits this characteristic of the Achiever in that he tends to look at nonprofits from the perspective of someone who is concerned about a myriad of organizational issues. For example, Joseph talked about funding, branding, marketing, accountability, and general management. As the founding CEO of multiple for-profits and nonprofits, it is not surprising that Joseph would view philanthropy through this multi-faceted lens.

In leading across disciplines, Achievers tend to value teamwork and, to a certain extent, consensus; however, Joseph did not exhibit this characteristic. For example,

Joseph did not talk about how the organizations with which he worked—SVP or any of the other nonprofits—benefited from the expertise of others. This omission is, possibly, a reflection of his years of experience as a real estate developer. Leading a real estate development organizations is, presumably, more of a solitary experience than running many other types of businesses and this more solitary CEO experience has likely shaped Joseph's leadership style. In short, Joseph thinks like an Achiever but, in many ways, does not yet lead like one in this core characteristic.

The Achiever is aware of his/her own pattern of behavior but does not question that pattern. Joseph, like others who can be classified as Achievers, is aware of his own pattern of behavior. He is aware, for example, of his laser-like focus on outcomes and of the role he plays as an initiator of change. However, like other Achievers, Joseph does not reflect upon this pattern of behavior. One example of this unquestioning acceptance of his Achiever-like qualities occurred when Joseph described being confronted with the (accurate) accusation that members of the SVP chapter he helped develop were almost entirely Caucasian. As a results-oriented leader, Joseph responded immediately. He said that he:

set a goal of finding a minority partner and I spent a year chasing the Black and Asian community and never got one. I found that, generally, first generation wealth goes to family. Particularly Hispanic, they're all about church and family. The few that are interested are on 14 boards already. I'm thinking about who turned me down. There's a couple younger ones, but they don't have enough experience yet.

Joseph turned the problem (i.e., SVP was almost entirely Caucasian) into a goal he could accomplish (i.e., recruit a minority partner). In Joseph's mind, the problem would be solved once a minority partner had been recruited. He did not discuss possible reasons why SVP may or may not feel to a person of color like a welcoming group. He also did not express an interest in reflecting on his skills as a recruiter. For example, he never appeared to seriously consider why, after his success in recruiting approximately 150 SVP members, he was unable to convince a non-Caucasian person to join the group. Instead he was satisfied with glib reasons that were, based on the presence of persons of color in similar groups, at best, only half truths. Struggling with these types of questions, the sorts of questions which would truly intrigue an Individualist, did not seem to occur to Joseph, or, if they did, they were quickly dismissed with glib responses. Instead of struggling with such questions, Joseph saw clearly the goal to be achieved and, when he was unsuccessful, he identified the barriers to achieving that goal as being external (i.e., "they're all about family" or "they don't have enough experience yet"). Joseph's orientation to results without reflection is characteristic of an Achiever action logic.

The Achiever seeks feedback from those deemed worthy to provide feedback; uses feedback to determine if s/he is meeting self-defined standards and goals.

Consistent with this characteristic of an Achiever, Joseph demonstrated a keen interest in talking about his standards and goals. This was evident during a number of parts of our conversations, many of which have already been recounted in this theory-based analysis. Additionally, his response when asked during an initial conversation why he agreed to participate in this study was indicative of an Achiever action logic. Joseph said he had been wanting someone to evaluate the effectiveness of SVP. I explained, of course, that I

was not going to evaluate the effectiveness of SVP in this study, but I took note of the fact that Joseph apparently would value the type of feedback produced in independent evaluations.

Like other Achievers, Joseph only welcomes feedback that fits within his action logic. He shared two examples of times when he was offered and rejected feedback. In one instance, he found himself clashing frequently with the executive director of a nonprofit organization funded by SVP. Joseph explained that both he and the executive director were Type-A personalities, and each one thought they had the best ideas about how to run the nonprofit. No matter how much he tried, Joseph could not get the executive director to understand what he was saying. Eventually, Joseph backed off and allowed another SVP member to work with the executive director. He said this new SVP member, a young woman, “literally wrapped [the executive director] around her little finger and got everything that I couldn't get.” Joseph was quick to add that he, himself, had wrapped others around his finger many times during his career but, for whatever reason, he had not been effective with this particular executive director; he was glad the young woman was able to accomplish his mission.

In another instance, Joseph said the prevention coalition he founded had “turned against” him because, as he described, he tried to run it like his personal corporation. Joseph recalled, “It was just we didn't see eye to eye and I said, ‘You know what, I don't see any future for this organization. Good luck.’”

Both of these examples offered Joseph the opportunity to get feedback from outside of his frame of reference. His response was to back off and either go somewhere else where he could be successful completely on his own terms or to turn the task over to

someone else who apparently operated differently than Joseph was prepared to operate but who accomplished the same results.

Conclusion. Joseph offered ample evidence that he was operating through an Achiever action logic. This evidence includes his razor-like focus on outcomes, the subtext of Joseph-as-initiator, and his awareness of but disinclination to question his patterns of behavior. It is clear from the narrative analysis that this action logic has successfully enabled Joseph to accomplish many admirable goals in the nonprofit sector.

Case #4: Melissa: Making Things Neat, For Now

Part I: Narrative Analysis

Melissa grew up in an affluent suburb of New York City. Her father was a doctor and her mother volunteered translating books into Braille for the blind to read. The family was comfortable financially, and both Melissa and her older sister were well-educated in the local public schools. When Melissa reflected, she identified two pieces of her background which strongly influenced who she is today: numbers and charity.

The early years: Becoming comfortable with numbers and charity. From a very young age, Melissa was raised to be comfortable with numbers. Her father was a doctor and, equally important, a strong business man. Each night, as he tucked young Melissa into bed, he would write three math problems on the chalkboard in her room. As Melissa recalled,

It was our way of ending the day together. Instead of some parents or dads [who] get in bed with their kids or whatever, sit with their kids and read them a bedtime story. My bedtime story was three math problems.

This ritual bonded father and daughter and, at the same time, fostered in Melissa a sense of comfort around math. As she said, “I got the concept of numbers early, not necessarily money, but numbers.”

The concept of charity was also deeply embedded in the family’s life through their Jewish faith, their individual lives, and their social circles. Both of Melissa’s parents were involved in charitable or socially-oriented activities. As previously mentioned, Melissa mother volunteered her time to translate books into Braille for the blind to read. To do this, she had to learn a new language (Braille) and a new writing system. Melissa

remembers her mother choosing this type of volunteer activity over other, more social volunteer opportunities because she was not, as Melissa described, a “joiner” and did not want to participate in fundraising for any organizations.

Melissa’s father did not give money to many nonprofits but he did volunteer on a number of different boards, primarily boards of professional organizations related to his work. The early and mid-1960s was a particularly important time to be involved in such organizations. Government relocations around healthcare were changing, and medical providers were reacting to the idea of accepting payments for services that were pre-determined by the government. While Melissa’s father may have feared socialized medicine and, as Melissa suggested, would be “rolling over in his grave” if he saw what was happening today, Melissa believed he was not necessarily for or against pre-determined payments. As Melissa recalled, “I think he just wanted to understand it and be involved in helping other doctors make decisions about it and make good decisions for himself.”

Like her parents, Melissa was also active in the community. Every Sunday, Melissa and her sister attended religious school. All of the children were responsible for bringing small change for Tzedakah, a Hebrew word that means righteousness and justice, and that is often equated with the concept of charity. No matter how small her allowance, Melissa remembers, she always had to save something for Tzedakah. As she recalled, “I never really knew where the money was going. I just knew it was going to people less fortunate than I.” She also remembered carrying little orange milk cartons during Halloween, when she and the neighborhood kids would Trick-or-Treat for UNICEF. At each house, neighbors would slip pennies into the milk carton which would

later be donated to UNICEF to help children in Africa. Melissa and her friends would compete to see who could raise the most money.

Melissa remembers fondly the collecting of coins for Tzedakah and for UNICEF, but she did not enjoy the little time she later spent as a direct-service volunteer. As a college freshman, she volunteered to tutor a young boy who was struggling to read. Many of her peers were also tutoring the under-served, and Melissa decided it would be worth trying to play the tutor role. Unfortunately, the experience was not positive. The young boy to whom she was assigned was not interested in reading. He was interested in making sure his friends knew he had a college student as a tutor. As Melissa recalled, “It was more of a status symbol for him to have me coming to his home.” They did little reading together and, overall, Melissa described the experience as “uncomfortable.”

Melissa’s philanthropic efforts went dormant during the middle years of her life. When they reemerged, they remained far removed from direct service.

The middle years. Melissa’s career has taken several different turns, allowing her to develop a wide variety of skills along the way. These skills, as will later become evident, have helped her become the philanthropist she is today.

Melissa graduated from a well-known university with a degree in languages: French, Spanish, Russian, and, as she described, a “tiny bit” of Chinese. She was fortunate to have begun to learn three of those languages sometime during her elementary or high school years, and found languages something she loved deeply. French was her first non-English language and, as she said, “I would've liked to have learned it earlier, actually, but I had the benefit of starting in third grade.” After college she spent three and a half years in Washington D.C. as a translator for the U. S. Government.

Melissa and her (now ex-) husband met in Washington D.C. and, eventually, after getting married, they moved to Cincinnati where he had children from an earlier marriage. Cincinnati was a beautiful city but, as an outsider, it was difficult for Melissa to break into the social circle. She recalled trying to make plans with one of the women she met, but discovered this woman could not make plans on a particular day because that day—the second Tuesday of the month—was the day she met up with her sorority from kindergarten. As nice and sociable as the women were, the strong social ties they had formed, including kindergarten sororities, prevented them from fully welcoming an outsider. Fortunately for Melissa, her husband's family was welcoming, and she found a job with a family-owned vinyl manufacturing company. Melissa worked in sales, assisting both the sales and marketing manager and the president of the company. She happily continued in this job for several years until the president's girlfriend decided she wanted the job. Melissa was out of luck.

Melissa went on to work in sales/marketing departments for several large companies before deciding to work for herself. She became tired of having her job be dependent upon factors, such as the whim of a president's girlfriend or corporate decisions, outside of her control. As she said, "I just decided, 'I'm going to figure out something I can do on my own.' And I did."

Melissa purchased a floundering secretarial service business and, within a year and a half, made it profitable. This was in the mid-1980s, during a time when personal computers were just becoming accessible. Most people did not yet have a computer. When people wanted to type a letter or a resume, they could either use a typewriter at

home or bring it to a secretarial services office. It was a smart business to invest in at that time and an even smarter move for Melissa on a personal level.

Three months after purchasing the business, Melissa's husband of 11 years asked for a divorce. She stayed in Cincinnati for a couple of years as they sold their house and re-organized finances. These years also allowed Melissa time for the business to flourish. Melissa eventually sold her secretarial businesses, and used the money to fund her next and final career: financial planning.

After leaving Cincinnati and moving to Southern California with a new boyfriend, Melissa happened to meet a fee-only financial planner. This career immediately resonated with Melissa. She loved the idea that financial planners did not have to sell products, something she had no interest in doing, and she loved the idea that she could help people with issues of cash flow and understanding their investments. Melissa also realized that financial planning would allow her to use both sides of her brain: the logical, linear side that was comfortable with numbers, and the creative side that enjoyed people and languages. Yes, this was the business for her! Melissa used the money from the sale of the secretarial business to finance her education and quickly went into businesses for herself, for the second time.

Over the years, Melissa has come to understand that she deeply enjoys the process of financial planning. As a fee-only financial planner, she can help her clients—whom she describes as the “middle-middle class”—develop comprehensive financial plans that enable them to make informed decisions in the context of their lives. This takes time and it requires her to understand every aspect of a client's financial life from their spending

habits to their hopes for the future. Furthermore, the work is not just about money. It is also about clients' relationships and their lifestyles.

Sometimes, being a financial planner can feel a bit like being a family therapist, according to Melissa. She recalled, for example, one couple who came to her for help. Both were overspenders, and neither knew how to stop. Melissa asked them a series of questions about their previous experiences with money. She asked, for example, if the couple had had an allowance growing up. The husband said yes, he had a weekly allowance that was supposed to cover school lunches and incidentals. She asked how the allowance worked out, and the husband said, "Well, I would usually use up the allowance in the first two or three days of the week." Melissa asked if that meant he did not have lunch money for the rest of the week. The husband replied, "Well, no. I would go back to my dad and tell him and ask for more, and he would give it to me." All of a sudden, the husband realized that he had been using his credit card in the same way he had used his father: to make up for his lack of planning and discipline. This type of realization is one example of the many ways in which Melissa's work is as much personal as it is financial.

Financial planning is a long-term process that does not happen in an economic bubble. Melissa can offer a solid financial recommendation but, ultimately, clients need to decide what is right for them in their lives. She wants them to look at the facts she presents and ask themselves, "What do the numbers tell me and what feels right? What is my feel-good decision?" Even as clients make decisions for today, Melissa recognizes that financial planning is a long-term process. As she described, it is a "process where I can put a nice bow around it and it's done for now." A new set of decisions will have to be made in the future, and a new bow will have to be tied.

Philanthropist, team member, and leader. Melissa has come to understand that she loves processes. She learned this not from her many years working in offices or her time as a financial planner, but during her time volunteering for a women's foundation during the 10 years prior to my interviews with her.

She happened upon the foundation by accident. She attended a session on charitable giving at a professional conference. The session suggested that financial planners should encourage their clientele to consider charitable giving in their financial plans. But, as she said, "You have to walk the walk and talk the talk first. I was right at that point... I was at the point, myself, where I was ready to think beyond myself." In short, Before Melissa could encourage her clients to give charitably, she felt she had to give charitably. Serendipitously, she ran into a colleague and his wife later that night. The wife happened to be the membership chair of a women's foundation and, almost immediately, Melissa became involved.

The foundation's mission resonated with Melissa primarily because there were no fundraising requirements. The women pooled their money and, collectively, decided where to donate. She was excited because, as she said, "I could contribute to something that would multiply my own contribution." She also knew the foundation would solve the problem of deciding where to donate. Up until that point, there had been no specific charity that spoke to Melissa because, as she described, "I don't have a relative or a friend who has a particular challenge. I think there are so many worthwhile organizations I wouldn't know who to choose."

Melissa joined the foundation a few years after it was founded and helped build the processes and procedures necessary for efficient grantmaking. In particular, she

helped develop and create the spreadsheets and the forms that help approximately 40 volunteers sift through data and make recommendations about which organizations to fund. The spreadsheet allowed the volunteers to see and, consequently, compare various projects side-by-side. The spreadsheet included data such as the project's goal, timeframe, and number of people served. The spreadsheet also took into account key questions such as whether the project focused on breadth or depth of impact. As Melissa recounted,

That's one of the issues we grapple with every year, because you can have a project [for which] they're asking fifty thousand dollars and it's going to benefit forty people. However, the impact on those forty people may be much deeper than a project equivalent [of, say] fifty thousand dollars for forty thousand people.

Melissa loves grappling with these types of questions for which there are no easy answers. The women with whom she reads proposals will sometimes have very different thoughts as to the merit of various proposals and, through dialogue, each woman comes to see new aspects they might have missed. She said she finds it “interesting what you don't see or what your team didn't see.” Melissa appreciates the deep engagement of the women in this process. As she stated “I'm always amazed and pleased that we have no shrinking violets [in the group].”

The proposal review process doubles as a training ground for members new to the foundation, according to Melissa. Seasoned reviewers mentor newer reviewers, teaching them what to look for in a solid proposal. Often, newer reviewers think highly of every proposal they read while seasoned reviewers are able to identify warning signs or concerns with the project. The group dialogue benefits everyone.

When Melissa reviews proposals, which she had done for approximately ten years at the time I interviewed her, she looks for several key things. First, she looks to see if the nonprofit organization that submitted the proposal clearly understood the objectives of the foundation. Did they, for example, answer the questions that were asked? She also is looking for “good, concrete answers” and for evidence of success. This evidence should come in the form of metrics and/or success stories. She also looks to see if the budget makes sense and how the project budget compares to the overall budget of the organization.

When Melissa goes on site visits, she is most interested in seeing how the leadership team functions. She has found that, as she described, “You can tell who is together, and who is strong, and who is going to be there long-term.” She looks beyond the senior leader to the functioning of the leadership team. She looks, for example, to see if the CEO or Board President has strong relationships with the project leaders.

Melissa also indicated that potential projects must have clearly defined objectives that explain how the mission will be accomplished. And, at the same time, she recognized there is a lot more that contributes to success than just clearly defined objectives. She believes that, as she said, many client “success stories really have more to do with a combination of the individual’s character and personality and timing, meeting the right people...” In short, no matter how well-designed a project may be, there are more factors to its success than can be controlled by the nonprofit; but, Melissa does not let this ambiguity prevent her from thoroughly vetting projects or from doing the best she can.

Melissa also stated that her work was but “a drop in the ocean,” however, she does not let that distract her. She tries to stay focused on the little bit of good she can do,

on the places where her work can make a difference. And to do that, the projects must be as specific and as well-designed as possible. As she said, “Are we going to solve poverty? No, [but] we can put Band-Aids on...[and] if we’re going to put Band-Aids on something, I’d like to know what the wound is and how effective the Band-Aid might be.”

Part of the good she can do is to help the foundation develop as an organization. Melissa is the immediate past-president of the foundation and, during her tenure as president, the organization made a lot of changes. For example, the organization re-vamped its mission and vision statements. It also moved from a subsector-based grant focus to an issues-based grant focus. The foundation had previously accepted grants from specific subsectors of the nonprofit sector, such as health and human services, environment, etc. Under Melissa’s leadership, it shifted to focus on issues, such as leadership development, which can fall under multiple subsectors. As she said, “What’s exciting about the foundation to me is that we keep improving. We just do not sit still.” These improvements are what Melissa would call, “meaningful improvements,” and not change for the sake of change. In personal communications after the interviews, Melissa wrote “We place a high value on educating our members and strive to keep the member experience relevant and meaningful to each members she develops and grows with the process.”

The changes that occurred while Melissa was president did not come from Melissa but, rather, they came through her leadership. Specifically, they came through her ability to facilitate a group process:

My thinking about being president was, "I don't have to have the ideas." I've said this publicly. I don't have to have the ideas. I have to be receptive. I have to be able to facilitate what the board wants to do as a group. That's where I think I was effective.

Melissa did not own or even author many of the changes that were generated during her time as president. In fact, she did not seem to feel it necessary to credit specific ideas to specific individuals at all. As she said, "Many of these ideas came from [our executive director] or bubbled up and seemed to.... Who knows where they come from, ultimately?" It is a collaborative process.

Melissa's work on the foundation brings her much joy. She worked alongside many bright, dynamic, and well-connected women she would not have otherwise met. She likened her foundation work to a play date with amazing friends. "We're playing together, but we're really working on something together," she told me; "Our play is face to face working on something meaningful that gives us all a good feeling." In thinking about this, Melissa recalled what Helen Keller has written, "Alone we can do so little; together we can do so much".

Part II: Theory-Based Analysis

Melissa predominately exhibits the characteristics of an Achiever action logic; however, she also exhibits some characteristics of an Individualist. Therefore, her overall assessment is late-Achiever. The characteristics of both the Achiever and Individualist action logics were presented in Table 7 and are summarized, here, in Table 11. The discussion that follows will be organized around the characteristics of the Achiever listed

in the table. Where appropriate, evidence of her emerging Individualist action logic will be discussed.

Table 11

Core characteristics of the Achiever and Individualist action logics

Action Logic	Core Characteristics
Achiever	<ul style="list-style-type: none"> • Is interested in results and effectiveness • Sees him/herself as initiator in establishing and working towards long-term goals and outcomes • Is drawn to learning (and leading) across disciplines • Is aware of his/her own pattern of behavior but does not question that pattern • Seeks feedback from those deemed worthy to provide feedback; uses feedback to determine if s/he is meeting self-defined standards and goals
Individualist	<ul style="list-style-type: none"> • Is aware of and often questions and redefines his/her own perspectives • Prefers to seek patterns than arrive at definitive judgments • Focuses on long-term goals and outcomes, but considers these goals within a broader context • Is sensitive to individuality and to context (both historical and present day) • Seeks feedback as a way to determine if s/he is meeting self-defined standards and goals; uses feedback to determine whether and how those standards and goals should be reevaluated

Source: Adapted from Torbert, 2004; Rooke & Torbert, 2005

The Achiever is interested in results and effectiveness. Melissa certainly exhibits the Achiever's concern with results and effectiveness. The spreadsheet she developed approximately ten years ago is an example of this concern. Initially, she developed the spreadsheet to expedite the grantmaking process. This spreadsheet consolidated myriad data into an easy to read document from which the grantmaking team could presumably easily make recommendations for funding. Over the years, however, Melissa has learned that the data contained in the spreadsheet are far more

difficult to interpret and translate into funding recommendations than she originally thought. For example, team members find themselves debating between funding a nonprofit program that provides in-depth services to, say, 40 people with a program that provides broader, but less in-depth, services to 40,000 people. Melissa indicated that wrestling with these sorts of complex questions of effectiveness is one of her favorite parts of the grantmaking process.

Melissa has been a part of her organization's annual grantmaking process for about ten years and, during that time, she has learned what to look for in a good proposal. Specifically, she looks to see whether or not an organization answered the questions posed by the organization, whether its answers were—to use her words—“concrete answers,” if the organization included any metrics or stories to demonstrate evidence of success, and whether the proposed budget makes sense. Melissa's interest in these particular indicators, all of which are oriented, in one way or another, to assessing results and effectiveness (or at least, the likelihood of the organization achieving results and being effective), are further evidence of Melissa's reliance on an Achiever action logic.

Melissa, however, is also beginning to exhibit evidence of an emerging Individualist action logic. For example, each member of the grantmaking team reviews proposals individually and, then, together, they discuss all of the proposals to decide which projects to recommend for site visits or funding. Melissa finds this discussion particularly fascinating and an opportunity to reflect upon her own ideas. Specifically, she said it is “interesting what you don't see or what your team didn't see.”

Melissa noted that most of the time the veteran proposal reviewers are teaching the new members what to look for in a proposal; however, she also said that sometimes

the newer members identify information or opportunities the veterans miss. The group discussion, therefore, offers an opportunity to make sure all relevant issues are addressed and that only the best proposals are advanced to the next stage. Melissa seemed to enjoy this part of the process even beyond its contribution to making the grantmaking process more effective. She demonstrated a curiosity in having her attention drawn to details or perspectives which she, herself, had not picked out automatically. This budding fascination with reflecting on her own perspective can appropriately be characterized as being indicative of an emerging Individualist action logic.

The Achiever sees him/herself as an initiator in establishing and working towards long-term goals and outcomes. Although Melissa would likely not describe herself as an initiator of projects, her work suggests otherwise. For example, she took the initiative ten years ago to redesign the grants proposal process and has helped in facilitating additional revisions in recent years. She also described numerous occasions where she had lead—or, in her words, “facilitated”—change initiatives. For example, during her time as president, the foundation she is affiliated with changed its mission statement and redesigned its areas of grantmaking. Of course, Melissa contended that those ideas did not come from her but, rather, emerged through her facilitation, but Achievers can work towards implementing long-term goals in decidedly different ways. Achievers who facilitate are no less Achievers than those who dictate.

Melissa’s inclination to see herself as a facilitator rather than as an initiator, however, could also suggest she is moving beyond the Achiever action logic. For example, she spoke often of her love for “the process” of it all, with all referring to both grantmaking and leadership. However, her discussion of the work still focused rather

explicitly on the results rather than the process. She indicated, for example, that under her tenure as Foundation president the group had redesigned its areas of grantmaking. In this example, she focused not just on her role as facilitator but also on the fact that these changes were made—a focus suggestive of an Achiever. If she were acting primarily out of an Individualist action logic, the focus might have been on what she learned in the process of redefining the areas or on the potential implications of these new focus areas. This distinction, however subtle, is evidence that, while Melissa is beginning to think like an Individualist, she is still acting like an Achiever.

The Achiever is drawn to learning (and leading) across disciplines. Melissa exhibits a penchant for what might be characterized (and what is characterized in the developmental theory literature) as interdisciplinarity. When she talked about functioning as a facilitator when serving as Foundation president, for example, she lauded the contributions that different group members with different areas of expertise brought to the grant-making process. She also talked about new insights she and a small group of other foundation members gleaned from a variety of presentations they witnessed when attending a grant-making conference. Melissa's embrace of differing ways of thinking about and looking at philanthropy is an indicator of the Achiever's interest in learning and leading across different disciplinary perspectives.

The Achiever is aware of his/her own pattern of behavior but does not question that pattern. Achievers are generally conscious of their behavioral patterns but are not especially reflective or critical about the behavioral patterns they perceive themselves exhibiting. Once again, this is an apt description of how Melissa approaches philanthropy and life, in general. She is aware, for example, of her penchant for order

and process, but, when asked why it was important to have processes, her answer was more psychological than logical: It “probably goes back to a root endeavor of mine, she told me, which is to organize everybody and everything. [She laughs.] I have a desire to make things pretty, make things work, make things efficient.” At another point, she indicated that she liked to achieve results even if those results were only temporary. “It’s getting it to a point whether it’s for the client or any other kind of process where I can put a nice bow around it and it’s done for now,” she told me.

In short, like the Achiever she clearly is most of the time, Melissa does not seem to question her desire for a sense of closure even as she is also aware that closure is only “done for now.” This became evident when she talked about root causes of problems she attempts, through the foundation, to address. She said, “Are we going to solve poverty? No, we can put Band-Aids on. In some cases that’s what we do.” Melissa has come to realize that her work is, as she said, only “a drop in the ocean,” and has determined that it is important to stay focused on the good she and the foundation can do. Her resolute focus on what she can accomplish more or less easily, despite an awareness of a bigger picture, is evidence of an Achiever mindset.

The Achiever seeks feedback from those deemed worthy to provide feedback; uses feedback to determine if s/he is meeting self-defined standards and goals. The Achiever is not adverse to receiving feedback, especially when feedback comes from people deemed qualified to provide feedback, Feedback is especially valued by Achievers when it is focused on whether or not the Achiever is meeting the goals the Achiever has defined for him/herself. This characterization certainly seems to apply to Melissa.

Melissa, for example, expressed pride in the fact that the foundation she is involved with and, for a time, headed, has developed a reputation in the community for being a place where proposals are thoroughly vetted. How did she know this was the case; what feedback had she received? She stated, “We have had projects that have gotten more grants, more funding, just by virtue of the fact that we gave them funding.” Consistent with the Achiever action logic, Melissa example indicates that she is looking for feedback that her work is on track; and, the types of feedback she looks for are generally external signals related to her goals. I gathered no evidence to suggest that Melissa sought or would even welcome feedback that would distract from her goals.

Conclusion. Melissa’s thoughts and actions are predominantly consistent with an Achiever’s ways of thinking and operating. However, she also, at times, exhibits characteristics of an Individualist. As an Achiever, Melissa is interested in results and effectiveness, embraces interdisciplinarity, and is aware of her behavioral patterns and how she thinks even though she is not always inclined to critique her thoughts and actions. At times, however, Melissa does appear to be in the beginning stages of a transition to an Individualist mindset. Consequently, as such she does not appear to be completely opposed to any form of self-reflection and appears to welcome opportunities during the team meetings about grant decisions for the foundation to learn from others’ ideas. This self-reflection, while enjoyable to Melissa, has not yet become a routine way of operating for her, nor has it been applied in a broad way to the work in which she is engaged. Therefore, Melissa has been assessed here as a late-Achiever.

CHAPTER 6:

ANALYSIS OF CASES #5 - #7

Case #5: Samantha: Offering Opportunity

Part I: Narrative Analysis

When Samantha's grandparents immigrated to the United States at the start of the 20th century, they brought with them a strong work ethic and an entrepreneurial spirit. These values have been passed down through the generations and are what guide Samantha's philanthropy in many different ways.

Today, Samantha has three main footholds in philanthropy. First, she is a board member and active steward of a family foundation (the Foundation¹¹) started in the late 1980s by her late father. Second, she is a board member of a family foundation she started in 2009 with her husband and two children. And, third, she is a philanthropic advisor who regularly counsels other philanthropists on how to, as she said, "to give, give well, and give more."

The seeds of success. Entrepreneurship was strongly prized by immigrants to the United States at the turn of the last century. In fact, Samantha recalled that members of her immigrant community would never ask, "What do you for a living?" Instead, the question was always, "What business are you in?" Samantha's father went into business for himself in the 1940s, hiring his wife as his first employee. Today, that same company has more than 45,000 employees and is on the New York Stock Exchange. As a self-

¹¹ Samantha works with two foundations. The word foundation will be capitalized when referring to the foundation started by her late father and not capitalized when referring to the foundation she started with her husband and children.

made man, himself, Samantha's father wanted his children also to learn how to support themselves. To that end, he vowed never to employ his three daughters in his company.

Samantha, now 64 years old, is a licensed marriage and family therapist. This career path emerged serendipitously and, as she laughingly admitted, not because she was deeply motivated. She received a bachelor's degree in anthropology from the University of California and, then, followed a boyfriend to Northern California. Her new town, she discovered to her dismay, had no jobs for newly minted anthropology majors. Rather than remain unemployed, Samantha registered at the local college and earned a master's degree in education. She later accompanied a different boyfriend to a different city, where she began volunteering at a community hotline to gain counseling experience. She was eventually hired by a nonprofit and, after earning her marriage and family therapy license, began seeing clients from the juvenile justice system.

The nonprofit organization's required caseload of 30 – 40 clients per week was overwhelming to Samantha, and she decided to enter into private practice which she continued for about 15 years. Eventually, HMOs began to dictate therapy practice, and Samantha had increasingly less control over the treatment process and over when and if she would be paid for her work. By this time her family foundation—which will be described shortly—had taken shape. Philanthropy quickly became a passion for Samantha, and she began to see how she could apply her therapist background in counseling individuals and families in their philanthropy. She gave up her traditional practice and started a new chapter in her life.

Samantha: The philanthropic advisor. Samantha found her professional niche as a philanthropic advisor in the mid-1990s. As she said, “[Philanthropy is] my passion,

so the more people I can get to give money away, the better it is.” She counsels people to be smart philanthropists. She said that she tells them wise philanthropy is about “becoming an expert in the field that you are interested, and finding where your money can be most effective, and then working with the people that are really doing a good job in that field.”

When philanthropists are looking for a nonprofit to fund, she tells philanthropists to look for a match with their personal values. Samantha has now been counseling families about philanthropy for approximately 15 years and, over these years, has learned to put her own values aside and address whatever issues her clients feel are important. After all, philanthropy, like wealth transfer, is not a one-size-fits-all activity. To this end, Samantha is easily frustrated by some estate planning attorneys and others who offer the same advice to all of their clients or, more specifically, argue that money ruins children. Samantha strongly believes that it is not money but bad parenting that ruins children. If her clients choose, she works with them to discover ways to involve their children in philanthropy.

The first family foundation: Learning together. Samantha knows a thing or two about family philanthropy. She has engaged in family philanthropy both with her parents and with her children. Samantha’s father chose not to hire his children in his firm, but he did include his children in his philanthropic work. Indeed, philanthropy became the place where the family worked together and made decisions as a group; it was the unofficial second family business. Samantha’s family members started a family foundation in the late 1980s (the Foundation), with Samantha, her two sisters, and her parents as board members.

At first, the family was neatly divided into two camps. The parents were quite conservative. Samantha said her father felt that charity was “demeaning, and that the best thing, the most respectful thing you can do for somebody is to give them a job rather than a hand out.” The three children, however, were, as their mother used to say, “screaming liberals.”

Micro lending was the first anti-poverty strategy on which both camps could agree; however, they quickly realized that, as Samantha said, “everything is related to everything else.” If you pull at one string such as economic development through microfinance, other strings—like transportation, childcare, education—go taut. For example, Samantha remembers dealing with a situation where a newly hired employee was not showing up for work. When the management company called to follow up, the employee said, “Well, I only have one pair of black pants, and I had to wash them today so I couldn’t come to work.” This was a big “Aha!” moment in which Samantha said she learned that “you cannot give someone a job in a vacuum... You have to have a support system around them, and it’s more than just training.”

Together, Samantha’s family decided to focus their attention on one distressed area in their region. They purchased a number of sizable portions of vacant land and have been developing these plots commercially for the last fifteen years. To stimulate local economic activity, the Foundation’s leasing agreements incentivize stores to hire local residents. The long-term goal is to turn the land into a self-sustaining economic engine for the community and, eventually, to help the residents assume leadership of these assets by becoming board members of the Foundation.

Resident engagement. Throughout this process, Samantha's family has tried to engage residents. As she said, "You cannot do things to people or for people. It has to be from them and ... they're going to sustain it if their hearts and minds are in it." What Samantha means by *engaging residents* has changed over the years. At first, residents participated through a variety of teams such as the art and design team or the businesses and leasing team. This lasted for many years until a new model emerged. In the new model, the Foundation focused on one core group of residents who were committed to meeting regularly for a sustained period of time. In addition to working directly with residents, the Foundation has also taken out full page ads in the community newspaper to inform community members about key changes in the Foundation's work.

Today, the Foundation is preparing for its next evolution in resident engagement: residents as board members. Currently, the Foundation's board includes three generations of Samantha's family, and nobody else. This next step is both something the family wants and something that is important for community buy-in. Samantha acknowledged that "the residents feel that no matter how much we work with them,... if they are not on the board, then it doesn't count."

Samantha is tremendously excited by the opportunities the Foundation is providing. She is, for example, enthusiastic about the economic development she sees happening through the foundation, and the opportunity for the residents, by becoming board members, to exercise leadership over that development. However, the reality has not always kept pace with her vision. Samantha has observed that many of the local residents have not yet been able to fully take advantage of what her Foundation has to offer. For example, the Foundation arranged for a select group of residents to attend a

finance seminar that would help them understand some of the responsibilities that come with board membership. Not one of the residents attended.

A variety of responses from the community. The Foundation, in fact, has received a variety of responses about their work from their community, including a number of complaints. Samantha recounted the story of one resident who conspired to have one of the Foundation's real estate tenants—a large retail clothing store—closed. He called the store manager, the state authorities, and Samantha to complain the store was managed poorly. In particular, he complained that the checkout lines were long and that the dressing rooms were always full of discarded clothes. Samantha talked with the store manager who admitted the lines were long, mostly because staff members were spending time re-shelving items customers had taken to the register but not purchased, often because customers did not have enough money to pay the full bill. The manager also admitted to having a difficult time with employees who were unable to work their scheduled shifts due to childcare needs.

It can be difficult to operate a business in a low-income neighborhood, and Samantha understands that. Long lines and un-attended dressing rooms are a natural byproduct of this difficulty. What she told me she does not understand is how this gentleman has come to believe that shutting down the retail clothing store, which provides jobs to many of his neighbors, would benefit the community.

Samantha and her family can only do so much. Samantha believes real change in this neighborhood will require the efforts of all residents, not just the Foundation. Success requires more than just the presence of commercial development. As she said, “It

has to do with people's values in how they raise their kids, and for people to teach their kids to take responsibility.”

Samantha in the middle. Samantha models on a daily basis what she teaches philanthropists in her practice: in order to make a difference, you have to put yourself in the middle of the problem. As she said,

I want to be a role model for other philanthropist that write checks at the end of the year, and [show them] that taking risks is important. Really taking on the tough problems is important. Putting yourself in the middle of stuff is important in order to learn anything.

This commitment to be a role model for other philanthropists is more than an espoused value; it is something that Samantha enacts on a daily basis. Physically, her office is located in the heart of the community the Foundation is trying to help improve.

Culturally, Samantha understands that her families' wealth and skin color represent to many of the community members the painful memories of the past and, potentially, an opportunity for either re-victimization or healing. And, emotionally, Samantha is often at the heart of community power struggles. For example, she was recently at a foundation event for residents. At this event, she found herself sitting at a table with the previously discussed gentleman who attempted to have the clothing store closed down. To make matters worse, at the same table was another resident who happened to be an archenemy of the gentleman who led the one-man store closure campaign. Samantha, quite literally, was in the middle of a community feud.

Samantha has learned a lot by putting herself in the middle, metaphorically as well as literally. In fact, when she reflected on what she has learned from philanthropy in

general, the lessons are largely the result of being willing to get involved with another human's experience. Specifically, she said that she has "learned about the power structures in this neighborhood, the formal as well as informal structures." She has also learned about the effects of racism. In hindsight, Samantha wishes she had hired an African-American CEO sooner than she did. She stated,

I didn't think that was going to make a huge difference, but [now] I think it does make a huge difference. You can be liberal and really ... [i]t doesn't matter. I think that for the people who work here, the color of their skin does matter.

At the time of the interviews, Samantha was reading a book that was helping her understand racism from the perspective of a non-American (Nigerian) black person. Through this book, she was realizing the extent to which she has been privileged by, for example, never having to talk to her children about what to do when the police stop them.

Building resident leadership. When Samantha's father established the Foundation, his intention was for the family to build the infrastructure and, eventually, hand the leadership of the Foundation over to the community. The family is currently holding regular community resident meetings and devising a plan to bring residents onto the board. Ideally, in the next 10 years or so, the organization will be almost entirely led by residents, and its assets will be generating a profit that and be reinvested into to the foundation and, subsequently, the community.

It is unusual for a foundation to promote resident leadership over its assets, and Samantha said that it is both an "exciting and scary" opportunity. When asked what success would look like for this stage, she stated:

Success would be that we have all the organizational issues, things, in place for this to be successful. That the commercial pieces would be self-sustaining plus hopefully they'll be some profit that could go into philanthropy and [be] given away and that structures would be set up so that there's a governance piece and safeguards so that the benefits remain with the community.... There would be this balance between people who are from the community and people from outside of the community and they would have ... certain expertise: financial, real estate, all the things that we need in terms of understanding how to run this entity. The community would feel ownership and pride in this and feel that it's theirs and that it's successful and it changed their community for the better. That is what success would look like.

Success, while difficult to achieve, is fairly easy to imagine. Images of failure, on the other hand, are a bit more difficult to conjure up, and, likely, more painful for Samantha to think about and consider. She said,

Failure would look like some people got in here and corrupted the whole idea and it got all sold off and people made money off of it. Or something, I don't know what could happen.... Or, everything goes in to disrepair and falls apart because it's poorly run.

For Samantha, these are real fears. As previously discussed, she has observed a number local power plays and cultural wars. As she stated, "In these neighborhoods there's so many factions. There's factions within cultural groups and there are factions across cultural groups. There is a lot of distrust."

As she considers the re-distribution of power over the foundation, she does not want to repeat the mistakes of the past. She recalls the naiveté with which her family entered philanthropy:

We kind of came to the neighborhood with a Kumbaya attitude which is our doors are open to everyone and we're not trying to favor one group over another, but if you work with us, that's going to make a difference to us in terms of, you know, as opposed to against us. [The reality is] a lot more complicated.

It has taken Samantha more than two decades of working in the community to really understand the depths to which the family originally underestimated the challenges that exist in the neighborhoods she and her family members are attempting to help. And, in building resident leadership of the foundation, she is determined to create strong processes and procedures to ensure that egos and turf-wars do not derail the good work she and her family have set in motion.

The second family foundation: A foundation of their own. At the suggestion of her now late father, Samantha and her husband, in conjunction with their two children, started a separate family foundation under her married name. Started in 2009, this foundation focuses on issues of international development and is based on a value of her immediate family which Samantha described as “to have people in charge of their own lives and decide for themselves what they want [for] the future ... of their community.”

This second family foundation focuses on international work because, as she said, such work provides “more bang for your buck” than U.S.-based work. Like Samantha and her father, her husband and children do not believe in charity; instead, their foundation focuses on community-led change. For example, they currently support one

organization that trains women in rural communities to join together to operate quasi-banks. These banks—which are, essentially, a locked box under someone’s bed—use the women’s own savings to make loans and address crises. For Samantha, who started her philanthropic journey with her parents and siblings in the late 1980’s with microcredit, this is a very exciting endeavor. As she said, “It’s not charity anymore. It’s teaching them how to be successful financially with their own money.” Of course, as Samantha learned long ago, focusing on one good thing raises many other issues. For example, the prospect of women becoming financially stable and, potentially, independent can be a frightening shift of power for some cultures. In some cases, women have been beaten by their husbands as punishment for their financial advancement. Samantha recognizes this, and wonders, “How do you approach a culture in a respectful way so it’s not threatened, but maybe make little changes?”

As challenging as it can be to pursue some of the internationally focused foundation’s goals which require large cultural shifts, Samantha believes it is important to pursue such goals because, in the end, the desperation felt by those in need affects everyone:

The more we can allow people to be independent and support themselves and support their families, the better off we’re going to be ... Usually if people are happy and content, they are not going to go out and make a war.

In other words, Samantha believes the economic development of women in rural areas of developing nations has ramifications for everyone, even those living in wealthy areas of developed nations.

Honoring a Legacy. On the wall behind Samantha's desk at the Foundation is a black and white drawing of her father. He is wearing a nice suit, is cleanly shaved, and looks like a sharp business man. He was a savvy business man and, more importantly, a man who lived his values of family, responsibility, and entrepreneurship. It is a tough legacy to honor, much less emulate.

Samantha lives every day with the fear of failing her father. In fact, she has spent the last three years financially reorganizing the older foundation and its many holdings (one Limited Liability Corporation for each of the properties it owns). She wants the foundation managed with the same business-orientation her now deceased father would have brought to the table, were he still alive. After all, the Foundation is not just spending his money, it is passing on his values.

Written on the wall outside of the front entry way to the Foundation is a quote from her father that reads, "*And what do we need to change the world? Opportunity. Just a sliver of opportunity.*" Through the Foundation, Samantha's father hoped to offer local residents of an impoverished community an array of opportunities to change their own community for the better. Samantha has taken up that torch and has taken it one step further. In addition to her work in the Foundation, she has also started her own family Foundation, and, in her professional life, counsels philanthropists how to "to give, give well, and give more."

Part II: Theory-Based Analysis

Samantha exhibits characteristics of both the Achiever and Individualist and, likely, is transitioning between action logics. The characteristics of both the Achiever and Individualist action logics were presented in Table 7 and are summarized in Table 12.

The discussion that follows will be organized around the characteristics of the Achiever listed in the table. Where appropriate, evidence of her emerging Individualist action logic will also be discussed.

Table 12

Core characteristics of the Achiever and Individualist action logics

Action Logic	Core Characteristics
Achiever	<ul style="list-style-type: none"> • Is interested in results and effectiveness • Sees him/herself as initiator in establishing and working towards long-term goals and outcomes • Is drawn to learning (and leading) across disciplines • Is aware of his/her own pattern of behavior but does not question that pattern • Seeks feedback from those deemed worthy to provide feedback; uses feedback to determine if s/he is meeting self-defined standards and goals
Individualist	<ul style="list-style-type: none"> • Is aware of and often questions and redefines his/her own perspectives • Prefers to seek patterns than arrive at definitive judgments • Focuses on long-term goals and outcomes, but considers these goals within a broader context • Is sensitive to individuality and to context (both historical and present day) • Seeks feedback as a way to determine if s/he is meeting self-defined standards and goals; uses feedback to determine whether and how those standards and goals should be reevaluated

Source: Adapted from Torbert, 2004; Rooke & Torbert, 2005

The Achiever is interested in results and effectiveness. The Achiever, who is interested in results and effectiveness, will often discuss the process through which they are working to achieve goals. This sort of discussion of processes will often focus on the orchestration of a variety of technical skills, and Samantha exhibits this characteristic of the Achiever. Consistent with an Achiever action logic, however, the discussion of process is tightly tethered to a concern with achieving goals and being effective. For

example, when asked to imagine what success would look like as they work toward resident leadership of her father's Foundation, she said:

Success would be that we have all the organizational issues, things, in place for this to be successful. That the commercial pieces would be self-sustaining plus hopefully they'll be some profit that could go into philanthropy and [be] given away and that structures would be set up so that there's a governance piece and safeguards so that the benefits remain with the community.... There would be this balance between people who are from the community and people from outside of the community and they would have ... certain expertise: financial, real estate, all the things that we need in terms of understanding how to run this entity. The community would feel ownership and pride in this and feel that it's theirs and that it is successful and it changed their community for the better. That is what success would look like.

Samantha's description makes sense. For example, it is necessary for organizations to have the proper policies and procedures in place and to consider expertise in regard to board recruitment. However, this description of success is also incomplete, given her emerging Individualist understandings. For example, Samantha also discussed the community power struggles and the overarching lack of responsibility on the part of many residents, much of which she attributes to historical factors and bad parenting. She said these power struggles and the overall lack of responsibility are symptoms of deeper issues that, according to Samantha, must be addressed if long-term change is to occur. But, as the above quote illustrates, Samantha's Achiever-like efforts seem to focus almost

entirely on the concrete, external deliverables she can accomplish (i.e., governance structures).

It would be easy to say, at this point, that Samantha is acting as a late-Achiever; however, other data indicate that, in other parts of her life, she has the capacity to act as an Individualist. Specifically, she described a more Individualist orientation to success when discussing the work she is doing in the foundation she started with her husband. For example, she described supporting a program that trains women in rural areas to partner together and form small banks. These banks—which are really just a lock box under someone’s bed—provide women an opportunity to become financially self-sufficient.

As Samantha supports this project, she also reflects upon its unintended consequence: some of the women who become financially self-sufficient have been beaten by husbands. Samantha recognizes that the project represents far more than just a bank; it represents the beginning of a broader cultural shift. Wondering how to be most effective, she asks herself, “How do you approach a culture in a respectful way so it's not threatened, but maybe make little changes?” Samantha’s willingness to question and redefine the goals of the project and to consider these goals within the broader context of culture are reflective of an Individualist more than an Achiever action logic.

In short, Samantha provides evidence that she is acting out of an Achiever action logic in the Foundation started by her father and out of an Individualist action logic in the foundation she operates with her husband and children. This suggests she is likely transitioning between logics.

The Achiever sees him/herself as an initiator in establishing and working towards long-term goals and outcomes. This seemed to be true for Samantha. For

example, even though she is a board member—not the executive director—of the Foundation started by her father, she has an office at the Foundation. We met in this office for both of our interviews, and I watched as staff approached her to discuss projects. She was clearly in charge and a person to whom staff answered. Had I not already seen the organization's IRS Form 990s, which confirmed she is an unpaid board member, I would have assumed she was a paid staff member and, more specifically, the senior leader. I did not have an opportunity to observe the executive director and cannot comment about the relationship between him and Samantha; however, it was clear that Samantha played a prominent leadership role in the organization her father founded.

Samantha's sense of self as initiator also emerged when she shared the deep sense of responsibility she feels for honoring her father's legacy. She had recently realized that the Foundation's financial management was not as efficient as it could have been and, in response to this perceived problem, she had financially reorganized the foundation's holdings (one corporation for each piece of real estate). She expressed sadness and sense of guilt that the Foundation's finances were not as well-managed as her father might have liked and, underneath this guilt, lay a sense of responsibility for meeting her father's goals. The assumption seemed to be that she, Samantha, was responsible for initiating change to accomplish its goals; and Samantha did not question this assumption. Her sense of self-as-initiator is characteristic of an Achiever action logic.

In other areas of her life, however, Samantha's sense of self was more closely aligned with the Individualist action logic which seeks to reflect upon its own experiences. One example of Samantha's more Individualistic experience of herself occurred when she discussed reading a book about racism written by a Nigerian man. As

she read this book, Samantha described reflecting upon her own experience and coming to understand better how little she knew about racism. She realized, for example, that she had never had to warn her children about how to respond if stopped by the police. Not only was Samantha willing to reconsider her own perceptions, but she also deeply enjoyed this process. This approach to understanding herself is evidence of an Individualist's action logic and, when considered in relationship to the previous paragraph, is further evidence that Samantha is currently in transition.

The Achiever is drawn to learning (and leading) across disciplines. The Achiever understands that, in achieving organizational goals, no one area of expertise takes precedence over other areas; instead, it is important to incorporate a variety of perspectives and skill sets into the process. Samantha exhibited this characteristic of the Achiever. During the two interviews she discussed initiatives she had undertaken in a wide variety of areas. For example, she had worked with professionals to financially reorganize the Foundation's real estate holdings; she used her training as a therapist to help philanthropists improve their effectiveness and engage their families in philanthropy; and she was working on a long-term process of engaging residents on the board of directors and, as part of that process, of ensuring a diversity of skillsets on the board. The variety of activities in which Samantha was engaged and the types of knowledge and skills required to engage in such activities is consistent with an Achiever-level action logic.

The Achiever is aware of his/her own pattern of behavior but does not question that pattern. Samantha exhibited this characteristic of the Achiever when discussing her work with her father's Foundation, but she exhibited more of an

Individualist's inclination toward reflection when discussing the work she is doing in the foundation she operates with her husband and children.

In regard to her work in her father's Foundation, Samantha seemed aware that she was playing a leadership role in working toward the goals of the Foundation, including the goal of resident engagement. She did not, however, question the goals or the ways in which she was attempting to accomplish these goals. For example, she did not seem to reflect on how a carefully orchestrated, top-down approach to engaging residents might, ironically, prevent resident engagement.

As previously described, however, Samantha did demonstrate an inclination to question her standard operating ways of thinking and acting when engaging in the work of the foundation she started with her husband. In this case she was able to lighten up on her pursuit of goals and, instead, focused on the broader cultural implications of the foundation's work. Indeed, she even sought to recalibrate her approach. This bifurcation of behavior is evidence that Samantha may be transitioning from one action logic to another. Of course, it is also possible that the different contexts—one which is dominated by her father's memory and the other which is not—might explain the variation in Samantha's inclination to question her patterns of behavior.

The Achiever seeks feedback from those deemed worthy to provide feedback; uses feedback to determine if s/he is meeting self-defined standards and goals. In contrast, Individualists, who also use feedback to reflect on what they are doing and are or are not accomplishing, are also willing to employ feedback to redefine their goals and the criteria they are using to make judgments.

Samantha exhibits characteristics of both the Achiever and the Individualist action logics. Examples of this, much of which has been previously presented, include Samantha's bifurcated understanding of success. In regard to the work of her father's Foundation, success is oriented to external processes and procedures. In regard to the work of the foundation she started with her husband and children, success is not just achieving outcomes (i.e., becoming financially self-sufficient) but also understanding how those outcomes affect the broader culture. These very different definitions of success naturally call for very different orientations to feedback. In regard to the work with her father's foundation, Samantha seemed to focus on operational data that helped her understand how she was meeting her goals (i.e., have we established the best policies and procedures). In regard to the work of her foundation, she seemed open to data that asked her to redefine or reevaluate goals (i.e., are there better ways to think about the work we are doing).

Conclusion. My efforts during my interviews with Samantha to seek disconfirming evidence of my initial classification of her as an Achiever netted both evidence that supported an Achiever classification and evidence of a more Individualist action logic at work. At times, she exhibited the characteristics of an Achiever such as an orientation to results and effectiveness, a sense of self-as-initiator, an inclination toward learning and leading across disciplines, and an overall disinclination to question her assumptions. At other times, however, she exhibited Individualist characteristics including a desire to redefine her perspectives and goals and an ability to consider her goals within a broader context. Samantha seemed to exhibit Achiever-like qualities within the context of the Foundation started by her father and the more Individualist-like

qualities within the foundation she started with her husband. Possible reasons for why one action logic might emerge at one place but not the other will be discussed in the cross-case analysis.

Case #6: Richard: Learning to Lead Leaders

Part I: Narrative Analysis

Richard grew up in a small town on the east coast. His father, the head of the public school system, and his mother, a teacher, both instilled in him the value of education. Ironically, however, their frustrating experiences with educational bureaucracies also left Richard with a distaste for the educational system. Vowing never to be a part of a system which did not allow a leader to fire those who were underperforming (i.e., tenure), Richard studied business in college and obtained a job in a banking company's credit card-division. Through a combination of personal ability and fortunate coincidences, Richard quickly found himself in positions of authority, including being, in his early 20s, the manager of a team of approximately 3,000 people and, in his late 30s, the CEO of a publically traded company.

As this section will describe, Richard climbed the corporate ladder all the way to the top, where quickly learned that self-reflection was a powerful tool in helping him and his staff achieve company goals. Today, as a 46-year old recently-retired executive, Richard is using his business acumen and interpersonal skills to benefit both for-profit companies (as a consultant) and nonprofit organizations (as a volunteer, board member, and philanthropist). In both arenas, he is learning not how to be the leader but how to lead the leaders.

Climbing the ladder. Climbing the ladder in business came easy to Richard because that is what he did as a child. As he said, "In my family, there was always a hierarchy of who's the smartest . . . who was the favorite child or grandchild, which I always was, and I was told that." This family dynamic left Richard with what he now

understands to be the false impression that love is finite and that only one person can be the most loved or, as he described, “number one.”

The vying for the attention of parents and grandparents that Richard described when discussing in his early years turned out to be wonderful preparation for the young adult working in the banking industry that Richard later became. There, too, Richard found himself jockeying to be at the top. He said,

For a long time I didn't appreciate the value other leaders could bring to the table because there was always a competition. It was never an actual full discussion of capabilities. If I thought you were better than me, I'd view you as a threat, and so I did one of two things. One is I proved to everyone else I was better than you. The other is I left.

Richard provided an example of the leaving strategy he sometimes employed as a young adult new to the profession of banking. He noted that in his early twenties, his company hired a new senior leadership team. These new leaders quickly realized—correctly, he now admits—that there was a ceiling to Richard’s leadership capacities as an ambitious but as-of-yet unseasoned professional. It was a smart business decision, he now acknowledges, but, at the time, Richard felt deeply threatened. Blinded by his “number one” status as a child, Richard was unable to see the learning opportunity the new leadership team provided. He candidly admits that he “quit rather than saying, ‘Wow, this is awesome. They could bring all these talented people in. How fortunate am I to be in this room with these bright people?’”

Eventually, Richard did become part of a number of senior leadership teams and, by the age of 38, became the CEO of a publicly traded company. He had a great job, a

wife, a son, and, at the same time, a nagging sense that he was not happy. He did not know why he was unhappy but became willing to find out. This journey was somewhat tumultuous, leading Richard to simultaneously reexamine both his personal and professional life. He eventually divorced and entered a life-long learning process he could not have previously imagined.

Starting over. Richard described the first thirty years of his life as spent chasing external goals which, he now realizes, were largely fertilized by internal messages from his childhood. He began to thoroughly reevaluate his life with the help of a therapist and the encouragement of his new girlfriend. Richard lovingly admits that his then girlfriend—now his wife—was a driving force in this process. Together, they committed to not repeating the mistakes each had made in past relationships. They also committed to living a life of purpose, which included Richard’s exploration and eventual adoption of his wife’s Methodist religion. Living a life of purpose also meant becoming thoughtful about his philanthropy, something that was almost non-existent during the first thirty years of his life. In almost all areas of his life, Richard recognized he was starting over:

The challenge for me was realizing that not only was I not the best at certain things. I was at zero, back to I had no religious foundation, had no philanthropic foundation. I had to be comfortable with the fact that I'm the dumbest guy in the room, or the person who has the least inclination [with regard to philanthropy or religion].

And so, for Richard, the last fifteen years of his life have been focused on personal growth, leadership development, religious introspection, and philanthropy. His

renaissance was as much professional as it was personal. He saw the potential for this personal growth work to enhance his leadership abilities.

Re-learning to lead. Through the help of a leadership consulting firm, Richard began to slowly, sometimes painfully, realize the ways in which he was getting in his own way. For example, at work he was repeating the childhood pattern of wanting to *be* the best. This pattern of wanting to be the best was getting in the way of his ability to *do* his best. And, he was not alone. He began to realize that his team members were also getting in their own way.

The leadership consulting firm Richard hired led Richard and his team through a process designed to identify team members' internal barriers and problematic assumptions in order to become a more effective team. For example, one of Richard's staff members used to have strong emotional outbursts at work. One minute this employee would be calm and collected. The next minute he would become irate and hijack the meeting in which he was participating. Through the personal growth work Richard engaged in with his team, this staff member mentioned that he had been diagnosed with dyslexia as a child. He had been labeled and put in special classes, a deeply scarring experience. The diagnosis of dyslexia was later reversed but the employee continued to be emotionally scarred by the experience of being ostracized. As a result, he lashed out when he felt that he or others had been unfairly judged. In essence, the seemingly irrational and unmotivated angry outbursts at work were neither irrational nor random; Richard was able to notice that the employee's emotional spikes were always in reaction to what the employee perceived as inaccurate or unfair judgments of himself or others. Over time, this employee came to understand his own pattern of behavior and,

instead of acting out emotionally, would address perceived injustice directly with his colleagues when the pattern of behavior surfaced.

This is one example of the insight Richard and other team members gained through their group explorations, but Richard, at least, realizes this employee was not an anomaly. Each person has his or her own triggers and brings those triggers along wherever s/he goes (including to staff meetings and board rooms). To use Richard's words, "You can imagine, for each person, they've got their own thing. You have 10 people in a room with their own things." The best way Richard knows to address this phenomena is to try, as much as possible, to see each experience through another person's eye. He believes that the important thing "is appreciating [that] everyone's got their frame around them, an idea or a subject."

Richard is clear that intrapersonal dynamics affect employees' ability to do their jobs, to see the bigger picture, and to help the company achieve its goals. He believes that, in order to create a high-performing team, all individuals must be willing to engage in self-reflective work and to commit to a learning journey. In fact, one of his favorite questions to ask potential new hires is, "if I met you 10 years ago and I didn't see you until today, how are you different, and why?"

At the end of the day however, Richard's primary focus was on the organization's goals. In short, he saw the intra/interpersonal journey that he and his team members were on as a means to an end rather than an end, in itself. He has carried what he learned as an executive into his current role as a consultant. For example, when discussing a current consulting project in which similar dynamics were surfacing, he noted that he was "more excited about the outcome than about breaking through the process." He added, "I think,

in this particular company's case...they can really create some very innovative products and really grow the company. I'm excited about that more than I am about them getting out of their own way, which is keeping them from getting to that.”

Richard also is clear that he is not a therapist and that he does he want to do a therapist’s job. When he consults with people in different companies, he is ultimately “trying to get them to operate differently as a business to achieve greater goals.”

From executive to philanthropist. Richards’s business acumen is reflected in his approach to philanthropy. Here, too, Richard is focused on outcomes and bottom-line concerns but the intra-personal strategies he developed in his journey are important to Richard’s philanthropy process. For example, having the ability and willingness to see the world through another person’s eyes helps Richard make strategic philanthropy decisions. An example: Richard is currently on the board of his eight year old son’s school. He joined the board several years ago because he wanted to make the school a better place not just for his child, but for the next 25 years of students who attended the school. Among other achievements, Richard has been instrumental in helping the board build a new building and, most recently, discussing whether to add a sixth grade program to extend the currently offered preschool through fifth grade classes. To decide if the board wanted to add a sixth grade, the board members organized a meeting with the then-third grade parents whose children would potentially be the first sixth grade class. The purpose of the meeting was to see if a sixth grade option would be of interest to them. It was; the parents, in fact, were very interested. The board pursued the idea but, unfortunately, determined adding a sixth grade class turned out not to be feasible. The

board shared this decision with the parents and was surprised at the parents' response. The parents were outraged.

This outrage shocked the board. Many members dismissed the parents as irrational or crazy. Richard, however, suspected more was happening. He listened to the head of the school discuss the situation and realized he was only seeing one side of the story. He decided to meet with one of the more irate parents and discovered that she, like many others, had made decisions about her children based on the assumption the school would develop a sixth grade class. As a result, many parents had lost their window to apply for their children to attend other reputable sixth grade programs. Once Richard realized how this decision had affected the parents, their anger made sense, and his new-found knowledge allowed him to help the board move forward. As he recalled,

The bell was rung, and you can't fix that. I can try not to ring anymore bells, but what I need to do is get a sense of how do people see it. Then I called a meeting, effectively with all the parents but mostly the intended audience were the [now] 4th grade parents, to say, 'Hey, we screwed up. Here's what we should have done differently. Here's the reasons why we can't [offer a sixth grade], and here's that we're going to put in place going forward.'

In the first part of his life, Richard said he would have "tried to rationalize my decision, convince them that I'm right. That they're just seeing it wrong, or I'd make them crazy." As he has matured, he has come to realize that those parents have their experience, and that experience needs to be acknowledged. He believes most people can handle an honest apology, especially when their perspective has been acknowledged.

An introspective yet outcomes-oriented philanthropist. Richard is not a checkbook philanthropist. When Richard becomes committed to a cause, he wants to share both his money and his skillset. At one point, he stated:

[M]aking a difference, it's where you can leverage both [money and skills] to push something forward. I'm not interested in writing a check, that's the thing. I'm interested in contributing to an organization in both ways. I want to appreciate what that looks like from the other side before I write the check.

Richard is currently trying to figure out where his particular skillset can make the most difference. He has started volunteering with a nonprofit organization that trains people to mentor foster youth. This is a unique opportunity to help on multiple levels: personally with his mentee, organizationally with the nonprofit, and, Richard hopes, systemically with the court system.

On a personal level, this opportunity will expose Richard to a world he has previously not had to engage with. Richard has led a very privileged adult life. As he said, "I'm not sure I can remember the last time I didn't sit in the first 5 rows of a ball game or get upgraded because I fly a lot. The lens I look through is generally a very narrow one."

Richard's life of privilege is in sharp contrast to the children he will be working with, all of whom have been dealt a tough hand in life. He is intrigued by the prospect of needing to think differently about success. He has concluded that the goal should not be to get them to Harvard but, depending on their circumstance, to get them through high school and, maybe, a job at a fast food company. As he explained, "Success may be, like I said, they only smoke dope and not meth. I think part of it is getting me oriented to what

success looks like without diminishing the possibility of there being a big breakthrough.” This is both a daunting and exciting challenge for Richard. He said, “It’s much more about how to approach what could seem like a seemingly impossible challenge and define success differently, and be happy about that success along the way.”

Richard also will have to, for the first time in years, report to a superior. Officially, his boss is, in his words, a “28 year-old kid.” This he thinks will be a fascinating learning experience and he is interested to see how he will react to his new role of subordinate.

On an organizational level, Richard would like to eventually become a board member of this organization. He has already had discussions about joining the board, but prefers to wait until he has more knowledge of the court system. And, if he does get on the board, his goal would be to improve the larger systems affecting foster youth. He said,

Ultimately, I think I'd like to be on the board at some point in time, but I need to do it from a foundation of actually understanding how it [the foster system] works. I would give money and time there but my ultimate goal is, once I understand how the system works, to help make a structural change to the system, not just [to figure out,], “How do we operate best in the one that actually exists”?

Richard believes he can be helpful for two main reasons. First, he is well-networked with people in influential positions, people that may be helpful to the organization and for promoting the types of changes he would like to see enacted. Second, as a former CEO, he believes his experience can be helpful in balancing the personal demands of the work with strategic business decisions:

I think having run an organization and having now seen the inner workings of how it actually works, I have some belief I can be helpful thinking strategically about how to move it forward. That could be arrogance on my part. I think most people don't see the field of play very well. When you're dealing with the drama and the tragedy of all these kids, it's hard to think about the bigger picture. I think my ability to spend time watching the sausage get made, you can be helpful in thinking about how to make sausage differently.

A new challenge: leading leaders. The work he is doing in philanthropy represents a new stage in Richard's life and in his personal growth process. When he left his job last year as CEO of a publicly traded company, he did not know exactly what was next in his life and career. Richard knew he was tired of working in an increasingly regulated environment where decision makers were more interested in acquiring and exercising power than in basing decision on the facts. He was also curious about how he would feel about himself if he was not a CEO. He said:

It felt like I struggled for a long time to value who I was. That validation came from the title that I had. I had a lot of worry about if I wasn't the CEO of something, how would I be perceived? That gets us back to what we were saying, the other thing is sort of to redefine how I view myself.

The redefining process is not of the nip-and-tuck variety; Richard is looking to radically change how he engages with the world. He could, of course, find or create another company to run. But that idea does not sit well with him. Richard, in fact, characterized the option of running another company as a form of "inertia." He already has the technical skills to run a company and so to do that again would be more of the same and

provide little if any personal growth. Instead, he is looking for ways to engage in what he described as “real growth” and has taken the counsel of his wife and former bosses to do what is not familiar.

Still in his first post-CEO year, he is writing a book and has already served as a consultant with for-profit companies, served on nonprofit boards and worked on various philanthropy projects. And, he has found in both his consulting and his philanthropy that a new personal growth edge has emerged: learning to lead leaders. In the past, Richard realizes that he was the CEO and, ultimately, the boss. His leadership style recognized others’ personal and professional development but, in the end, he made the decisions. Now, as a consultant and philanthropist, Richard is not making organizational decisions. But, he does have a strong set of skills to share with others and he wants to be of assistance. His growth edge is learning how to lead without taking over. In other words, he must learn how to lead leaders. Richard said,

I think I'm actually a pretty good leader of people, but it's not because I'm smarter than they are or anything ... I think leadership is missing in a lot of places. Really, what I'm saying, in some ways, if you've got this great thing you're trying to push forward but you're getting in your own way, I can help you get out of your own way. But I don't know [yet] exactly how to say it or exactly the right way to do it, so I think they have to sort of see that that's possible and then invite [me] to do it.

Richard is conscious of how he might be perceived and is attempting to be strategic in how he exercises leadership. For example, he is currently consulting for a for-profit company. He said, “I think I have the prescription to fix 3 or 4 broken things, but, intentionally, I'm only working on one of the four.” He hopes that the CEO will, in

working on the first problem area, come to see how the other problem areas can also be addressed. Richard's efforts are directed as much toward the CEO's learning process as toward the business outcome, even though it is the business outcome that truly excites him.

As Richard recognizes this new growth edge, he has become interested in participating on boards where he can practice leading leaders. He is up front about this and has, on several occasions, said to executive directors:

I've dealt with boards for a long time. I've dealt with difficult situations. I know how to manage personalities. If that will be helpful to you, then that would be interesting to me. [I would] kind of help mentor you a little bit about working through situations.

Working with nonprofit executive directors is helping Richard to decide whether he wants to fully commit to pursuing a second career as an executive coach.

Executive coaching. In his years as a CEO, Richard has come to believe that leadership can make significant changes in organizational culture, and believes he has knowledge and wisdom to share with other leaders. It is an exciting opportunity on multiple levels. As he said, "I like it because of the possibility of potentially being able to have a broader ability to influence other than something that I run."

He knows he has something to offer, the question is—do they want it? One of the lessons he is learning in his current consulting is that the CEOs with whom he works are not always ready to try the suggestions he has to offer. In one particular instance, Richard was asked for his opinion on a matter pertaining to the employee benefits package, the second largest company expense besides payroll. This happens to be an area of expertise

for Richard. In his previous company, Richard led his team to create one of the most innovative benefits systems in the United States. And yet, the CEO chose not to implement Richard's recommendations. This was frustrating for Richard, who felt like he was wasting his time. He told me,

At some point you have to say, "Okay, Richard, I have enough confidence in what you recommended, I'm just going to do that as the default outcome." Or not. But if it's not, it doesn't make a lot of sense for me to show up here every other week if I'm just 1 of 12 things you put in a room.

Part of the challenge in this situation, according to Richard, was that the CEO really did not understand the role employee benefits packages have in creating the overall company culture. A CEO, he told me, needs "to think about each of these decisions as sending a broader message." If you do not do this, according to Richard, you will lose valuable employees. In Richard's experience, CEO's need to think broadly about their company's benefits package and how it relates to the type of organization they are trying to create. The CEO to whom Richard was consulting did not embrace this part of his role. Richard said, "For him, that's a lot of effort, and I'm not sure if he really wants to do it. It is much easier to make it, well, that's just another benefit plan and the broker gave us the answer so I didn't really have to think about it."

Ultimately, this CEO discovered that he did not have a curiosity about how a thoughtfully-crafted benefits package could improve his ability to lead the company. This, Richard eventually recognized, is an inconsistency in the CEO's experience of himself as a leader:

What you're saying is, I want to have a good company where people have a good experience or we can grow, but I don't want to invest in things that are foundational to that experience. They're kind of in conflict.

Richard's current challenge, both in terms of philanthropy and in terms of his potential new career as an executive coach, is how to approach situations where such inconsistencies exist. Ultimately, what is most exciting for Richard is the possibility of making an impact through nonprofit organizations. He also is excited about his work as an executive coach to first sector organizations and his process of learning to help others develop truly innovative companies. He knows from his own experience that there is a tremendous amount of self-reflection needed to make both things happen. As he said, "It goes back to, I had to unravel my own issues to look at other people's issues." Now, he has to figure out how he can help other leaders learn those same lessons in the context of their companies' possibilities.

Part II: Theory-Based Analysis

Despite my rather extensive probing for evidence of other action logics during my second interview with him, I concluded that Richard almost exclusively exhibited the characteristics of an Individualist action logic. These characteristics were presented in Table 7 and are restated in Table 13. The discussion that follows will be organized around the characteristics listed in the table.

Table 13

Core characteristics of the Individualist action logic

Action Logic	Core Characteristics
Individualist	<ul style="list-style-type: none"> • Is aware of and often questions and redefines his/her own perspectives

Action Logic	Core Characteristics
	<ul style="list-style-type: none"> • Focuses on long-term goals and outcomes, but considers these goals within a broader context • Is sensitive to individuality and to context (both historical and present day) • Seeks feedback as a way to determine if s/he is meeting self-defined standards and goals; uses feedback to determine whether and how those standards and goals should be reevaluated

Source: Adapted from Torbert, 2004; Rooke & Torbert, 2005

The Individualist is aware of and often questions and redefines his/her own perspectives. As is typical of those operating with an Individualist action logic, changes in both thinking and operating were virtually a standard operating procedure for Richard. For example, when he retired from being a CEO in the private sector, Richard consciously chose not to run another company. He said that the activity of running another company would have felt like “inertia” in that it would represent more of what he had been doing. Instead, he wanted to discover who he was when he was not a CEO. For example, he expressed curiosity at how it would feel to be a consultant rather than a boss, and wondered how leading leaders would be different from being the leader. Richard’s general emphasis on exploring both how he would feel and how his perspective would change in different situations is one of his characteristics that initially suggested to me that he might be appropriately categorized as an Individualist.

Another example from Richard’s interview data is especially illustrative of an Individualist’s inclination to redefine one’s perspective. At the time of the interviews, Richard had recently signed up to volunteer as a court appointed special advocate for a foster youth. He was excited about this opportunity to expand the lens through which he looked at life. In particular, he was interested in seeing what it would be like for him to

redefine success. For example, the foster youth with whom he works may never go to Harvard but might be able to graduate high school and get a decent job. As Richard explained, “Success may be, like I said, they only smoke dope and not meth. I think part of it is getting me oriented to what success looks like without diminishing the possibility of there being a big breakthrough.” Richard’s awareness of—and curiosity about exploring—the different perspectives one can use to define success suggests that an Individualist action logic in operation.

The Individualist focuses on long-term goals and outcomes, but considers these goals within a broader context. Richard also exhibits the Individualist tendency to focus on long-term goals and outcomes within a broader context. This tendency is especially evident now that he is retired and deciding where to invest his time. Currently, Richard is considering joining the board of the foster youth organization for which he volunteers. As he considered this possibility, he said that he is not interested in just increasing the numbers of youth the organization can serve with its current model. Instead, his ultimate goal would be to make a structural change in the foster system. He recognized that he would need to learn about the foster system, and he has confidence that he can successfully learn what he needs to learn in order to make a difference. Richard recognized that he might sound arrogant to some but also indicated there was good reason to think somebody like him could make a difference. He said, “I think the people who are in the system have a hard time changing the system. Change almost always comes from somebody on the outside.”

Richard also thinks that, in the interim, he can be of assistance to staff and board members that may be emotionally engaged in what he described as the “drama and

tragedy of all these kids.” He said, “I think, having run an organization, and, having now seen the inner workings of how it actually works, I have some belief I can be helpful thinking strategically about how to move it forward.” Richard is interested in issues of strategic management but even more excited about how, through this organization, he can help create a broader, more systemic change in the foster care system. This consideration of localized action within a broader context is consistent with an Individualist action logic.

The Individualist is sensitive to individuality and to context (historical and present day). Like others who exhibit an Individualist action logic, Richard is sensitive to both individuality and to context. Richard demonstrated this characteristic of an Individualist on a number of occasions, including when talking about interviewing potential employees during his tenure as CEO. He said there was one question that he asked everyone:

If I met you 10 years ago and I didn't see you until today, how are you different and why? I don't want to know what skills you have. I want to know how you are individually different and why are you different.

Richard stated that, over time, everyone evolves but that few people can thoughtfully explain the trajectory of their particular growth process. Those few interviewees who can answer his question thoughtfully are, generally, the ones who are willing to work on themselves and willing to disclose who they are to colleagues. These characteristics are important in a business environment, according to Richard, because, as Richard said, “You have to be willing to change. You have to be willing to adapt. Business is all about change. Individually, it's all about change.” As a CEO, Richard recognized the

importance of being willing to adapt, and he looked for individuals who had similar inclinations. The importance Richard placed on his employees' individual growth process signals an Individualist action logic.

The Individualist seeks feedback as a way to determine if s/he is meeting self-defined standards and goals; uses feedback to determine whether and how those standards and goals should be reevaluated. Richard both welcomed feedback and used it to assess whether changes needed to be made in the way he operated. He demonstrated these propensities on a number of occasions. For example, when deciding what to do after retirement, he welcomed the suggestions of his wife and his mentor. This feedback ultimately helped him decide to not accept another leadership position but, instead, pursue consulting. He also welcomed the feedback of his writing coach in the context of writing his book and this feedback helped him present his ideas in a way that would be attractive to a broad readership. Additionally, he incorporated suggestions from experts about how he can develop a relationship with his foster youth mentee and, simultaneously, maintain appropriate boundaries. In these examples, Richard is actively seeking feedback and using the feedback he gets to reevaluate his ideas about the specific issue at hand. These examples, in short, also mark Richard as an individualist.

Seeking disconfirming evidence. As described in Chapters 2 and 3, an important part of the interview process was forming a working hypothesis and, through probing questions, attempting to disprove that hypothesis. During the first interview, Richard presented evidence that he was operating at least at the level of an Individualist. However, his interest in helping his staff work through their psychological barriers could also be interpreted as evidence of a Strategist action logic. My working hypothesis was

Individualist and, in the second interview, I probed for disconfirming evidence that Richard was, instead, operating as a Strategist. What follows is an excerpt from the transcript of the second interview during which I probed to see if Richard was able to construct meaning at the Strategist level.

JAJ: It sounds like you're willing to sit through the process of breaking those old patterns, even though you know it may take a long time, if there's progress.

Richard: Consistent progress. Yeah, without a doubt. Again, I have things that I'm still working on too.

JAJ: Here's an interesting question. Are you more excited about the process of breaking through those patterns or about the outcome? Or equal?

Richard: It's a great question. I think I'm more excited about the outcome than about breaking through the process. I think, in this particular company's case, I think they can really create some very innovative products and really grow the company. I'm excited about that more than I am about them getting out of their own way, which is keeping them from getting to that.

JAJ: So this whole getting out of our own way is what we got to do in order to get to it, right?

Richard: Right.

JAJ: Okay. That makes sense.

Richard: Because I think a therapist's job is to get people to break through barriers. I want to do that but I'm not your therapist. I'll listen to them and I'll hear them. I'm really trying to get them to operate differently as a business to achieve greater goals.

This transcript illustrates that Richard's primary focus was achieving the organizational goals for which he was striving. The psychological support he provided to employees was strategically necessary but not nearly as exciting to Richard as the pursuit of goals. Indeed, this psychological support was offered *on behalf of* a desire to achieve the goals. This bit of data suggest Richard is acting out of an Individualist rather than as a Strategist. Had Richard been operating as a Strategist, he would have seen the pursuit of goals and the development of staff as inextricable.

Conclusion. In summary, there is sufficient evidence to suggest that Richard is operating out of an Individualist action logic. First, he is aware of and actively questions his own perspectives. He focuses on long-term goals and outcomes but, in doing so, is thinking about a broader context. Richard is sensitive to individuality and to context, and demonstrated an awareness as to the ways people change over time. Finally, he welcomes feedback as a part of his ongoing process of redefining his perspectives.

Case #7: Vanessa: Creating Spaces for Meaningful Change

Part I: Narrative Analysis

Giving back is an integral part of the Jewish faith, and Vanessa's particular expression of giving back is reflective of both her family's religious and political history. Vanessa traces her philanthropic life back at least three generations, to the time when her paternal grandparents, Jewish immigrants from Eastern Europe, made their home in Argentina. They, like many other Jews who came to Latin America during the 1800s, were new to the country, did not speak the language, and found themselves a religious minority in a predominantly Catholic country. Vanessa's grandfather was a community leader and held the esteemed title of rabbi—or, teacher—by his fellow immigrants. He was the person people approached with questions or to ask for help, and he always offering his time or expertise.

In the early 1900s, many of Vanessa's family members began to feel that organized religion could be dangerous and, instead, looked to socialism as way to promote equality. Members of her family took active roles in the socialist party, roles she considers to be as philanthropically oriented as her grandfather's previous role helping immigrants. Her father's family was eventually persecuted for this socialist activity and was forced to flee Argentina to Uruguay. Socialists in Uruguay considered her family to be traitors for having fled persecution. And this family, which had dedicated itself to helping others, were themselves denied help. The lesson was clear: stay true to your values but, as her grandfather once said to Vanessa, "Don't ever align yourself too closely to any party or anything."

These and other early familial experiences offer lessons that have echoed throughout Vanessa's life. As this narrative summary will demonstrate, these lessons have influenced her philanthropy, her parenting, and the construction of her own identity.

Creating identity. Vanessa was born in Mexico to an Argentine father and Peruvian mother. Her father, as previously explained, hailed from Jewish immigrants who were politically active in the socialist party. Her mother, on the other hand, came from a wealthy family, a family that, for the most part, had no desire to understand, much less help right, the injustices of the world they inhabited. Vanessa described her mother's family as "staunch Catholics" who viewed helping others as the responsibility of the Church.

When Vanessa was four, the family moved to the United States where her father, a doctor, was recruited to help fill a professional gap left when so many doctors were serving in the Vietnam War. Once in the United States, the family moved around frequently. Before she was eighteen, Vanessa had already moved at least four times, from Philadelphia to Arizona to California, and, then eventually, between several wealthy areas of Southern California. As a blond child from Latin America living in the United States, no matter where she was or who she was with, Vanessa said, "I've always been the outsider."

Part of being an outsider, as she has come to believe, is understanding that she has what she calls "double privilege." She has the privilege associated with being a fair-skinned American, and, at the same time, the privilege of speaking Spanish and fully embracing her Latin American roots.

Over time, Vanessa has come to hold the multiple expressions of her identity—being a Latina and an American, an Argentine and a Peruvian, from a family that is both wealthy and from working-class roots, both Catholic and Jewish—in a way that is both inclusive and flexible. She has made the disparate pieces fit together loosely and quite comfortably. As she reflected, “If I was trying too hard to define myself, I wouldn’t have really found myself.”

One example of the fluidity Vanessa enjoys with her identity is the recent experience of watching the 2014 World Cup with her family and friends. Many of her family members in Argentina, for example, only rooted for Argentina’s team. Vanessa on the other hand, found it equally important to also root for Mexico and the United States. Her children, who also have an Irish and Dutch heritage on their father’s side, had even more teams for which to cheer. It seemed, as she said, like “every game is important because one of those teams is one of my nationalities.” As a way of encouraging the children to embrace all of who they are, Vanessa and her husband joked that the children could own a jersey for each of their nationalities. This was a valuable lesson because, as Vanessa told me,

The more [my children] can connect to how different they are, the more they can understand how similar they are to other people. The more they can be bigger than themselves or understand that they’re parts of all these different pieces, the more they can find that piece that’s similar to that other person’s.

Shared space. Vanessa’s desire to connect to the fullness of her family’s heritage is, in many ways, a reflection of her desire to connect with other human beings. For

Vanessa, this means finding opportunities to share space. As she said, “Equality means you can touch each other.”

It is important to Vanessa to try to understand the perspectives of others and, to accomplish this goal, to engage in dialogue with other people. She laments that many philanthropists do not connect directly to the people or issues they fund. Many philanthropists often have not seen or touched, even metaphorically speaking, the experiences of others and cannot fully understand another’s perspective. Without true understanding, it becomes easy to judge or blame, Vanessa noted.

In Latin America, shared space is often found in public plazas or parks; however, in the United States, shared space is harder to find. And, according to Vanessa, it is also rarely sought or used wisely. People often prefer the comfort of the familiar over the anxiety that can arise when people come together across boundaries erected by such things as income disparity and racial and religious differences. At one point during an interview, Vanessa said:

To me that public space [is a place] where we can connect in a more egalitarian way. Would it mean that we would actually get to know each other? Change is what happens. The more you have an excuse [to connect], the more you have mixed housing, the more you have mixed schools all that stuff forces us to actually have to talk about tougher issues and understand them.

In the absence of shared spaces in the United States, Vanessa very consciously uses her Facebook page as a place to hold meaningful dialogue. Her online friends represent a wide range of opinions, including progressive liberals and ultra-conservative Republicans. She purposefully does not edit her posts to avoid difficult conversations;

rather, she uses the social media platform as a space to provide thought-provoking material and engage in dialogue. For example, she recently posted an article about the tens of thousands of children that had arrived without parents in the United States from Latin America. There was a very heated public debate about the article on her Facebook page. Many different people weighed in on the conversation. At the end of that debate, Vanessa graciously thanked the people involved by posting a statement that she recreated orally for me during our interview:

Thank you for letting [me] in your space. Very few people are open to listening to other people, and I had a choice to put this here or not, but what good is it for me to talk about these things [only with others who share my opinion]?

Vanessa believes that exposure to public spaces, be it in a physical space like a town plaza or a virtual space such as a Facebook page, allows people to have a more diverse set of experiences. Such exposure lessens one's ability to judge and offers insight that only comes from seeing an experience through the eyes of another.

Vanessa finds that if she is patient enough in listening to others' opinions, she usually finds that those opinions are not as different from hers as they might first appear. In fact, there are usually places of deep agreement despite apparent opposition. This finding has been as true in her professional life as it has been in her personal life. For example, she has found that she and her husband, while politically very different, share similar core values. Over the years, both has come to see the truth in the other's perspective without needing to surrender their own.

For her part, Vanessa's stance on unions has changed significantly in part as the result of conversations with her more conservative husband. While she is a big supporter

of worker rights, she has come to believe that many unions have forgotten to focus on the greater good and, instead, focus on themselves. She said, “I’m a really strong believer in community organizing but not the ‘us against them’ model. It just doesn’t work.” Over the years she has found many inconsistencies in the arguments of her fellow liberals, and has come to believe that a “kneejerk liberal is more ‘in the way’ than a close-minded conservative.”

A public-private life. Vanessa, like her grandfather, leads what she calls a public-private life. Whereas her grandfather was often approached by people and families asking for advice, she, is often approached by people and organizations for some sort of assistance. In her early thirties, she was working in a prominent community foundation, and she began to find it frustrating that every time she went out for dinner or ran to the grocery store, she was approached by someone needing help. Through the counsel of her then-boss, she came to realize that these experiences were reflective of the public-private life she had chosen for herself. She came to realize that, as a community leader, activist, and philanthropist, “you have to be constantly willing to connect to people and listen to what they have to say.”

Vanessa has come to realize that her commitment to shared spaces and to public dialogue means she must be willing to have such conversations wherever they may happen. For example, Vanessa and her husband recently attended an event where they found themselves talking with a wealthy couple from a local suburb. The couple was complaining about the affordable housing units being built in their neighborhood and was concerned that the new residents would be unemployed and undocumented. Vanessa offered a few facts about affordable housing, namely that families in public housing must

be both documented and employed. These facts satisfied the husband but the wife remained deeply concerned.

As the conversation with the husband and wife continued, Vanessa shared the story of driving her children's kindergarten class for a fieldtrip. The children were playing with the buttons in the car. She asked them to stop playing with the buttons, and one of the children asked, "Why?" Before Vanessa could respond, another child said, "Because the migra [immigration officials] will come." This child clearly lived in fear that she or her family could be taken away at any moment. This story was shared by Vanessa at the party as a way of humanizing the experience of the undocumented families, but the couple to whom Vanessa related this story seemed shocked. The woman asked if Vanessa had called the police to report that the child was undocumented.

Vanessa, of course, had not called the police. She was deeply saddened that the woman to whom she was speaking would rather call the police than have compassion for the child's experience. But, this conversation, as deeply disturbing as it was for Vanessa, had a silver lining. As she said, "It became a story I could share when people don't believe how bad it is." And, at the same time, Vanessa also recognized that this woman probably did not fully understand what she was saying. Vanessa said, "I do believe that people are good. I do believe that if she had that little girl in her car, and she knew her, she wouldn't call the police. It's easy to say, 'Call the police,' when you don't have them near you."

Defining philanthropy. Vanessa's definition of philanthropy is as broad as such definitions get. In talking about her philanthropy, she described her role as a parent to two children of privilege, her role engaging in civic dialogue, and her role in mediating

between the wealthy and the lower-income, often Latino parents in her children's school. She sits and has sat on many nonprofit boards and civic leadership groups. She and her husband have a modest donor advised fund at a local community foundation through which they donate to nonprofit organizations annually, and, in good years, add to the fund so that that they will always have money to give. Vanessa prefers to fund organizations that work in the areas of civic engagement and leadership development, believing that, if everybody had a voice, this world would look very differently.

Vanessa's commitment to civic engagement is firmly rooted in a desire for democratic dialogue. She welcomes all perspectives, not just those similar to her own. For example, she once helped develop a leadership program for residents of a distressed area of town. This leadership program included training in advocacy and in working with the media. One of the graduates of this program used the skills learned during the training to organize a boycott of a Planned Parenthood fundraiser. Vanessa, who happened to disagree with the resident's opinion of Planned Parenthood, was nevertheless delighted that the resident was utilizing the skills she learned in the program to benefit her neighborhood. This use of skills indicated to Vanessa that the program had been a success.

Vanessa and her husband also give money to their children's school. This annual donation, as she said, "drives me bonkers" because it goes against her core values of equality and civic engagement. Money donated to her children's school helps the children at that school, most of whom are from wealthy families. Vanessa would prefer the money be given to the school district or another group which could ensure that lower-income schools in that area have equal access to a quality education. This inconsistency with her

core values is a constant irritation for her, so much so that her husband often lovingly has said to her, "Okay, I'll take care of [donating to] our kids and you take care of everybody else's kids."

True to her values, Vanessa does take care of others' kids in the district. The parents from the English Learner Advisory Committee (ELAC) asked Vanessa to represent them in the Parent Teacher Association (PTA). At first she was hesitant, telling the ELAC that neither she nor her children were English language learners. The ELAC committee said, "Yes, but [the other parents will] listen to you, and we really need someone who will be listened to."

Once a PTA representative, Vanessa began to see areas where she could really make a difference. For example, she observed that the Room Parents were being underutilized and, with some added structure and a little leadership development, the role of Room Parent could be both a feeder into PTA leadership and a professional development experience for the parents involved. For Vanessa, this was an exciting possibility. As she said, "I was thinking of it as how do we change the PTA model completely? How do I do trainings to help them think about servant leadership and engagement and all that in a different way?" Unfortunately, the others on the PTA committee did not agree to Vanessa's proposal. The other parents found many justifications for why they should not experiment with her ideas about leadership development. In the end, Vanessa understood their lack of enthusiasm as both fear and small-mindedness. She said, "There's this want to control it because when we control the process we control everything. You get the credit and it goes in the direction you want." Vanessa's hands were tied, and she ultimately left the PTA.

Vanessa found her volunteer experience on the PTA to be painful, but has enjoyed working with ELAC. She relishes the comradery of people really trying to solve problems. And, equally as important, she feels it is always valuable to learn about an experience she has lived only briefly, i.e., the experience of being an English learner. As she said,

I have double privilege ... I'm bilingual, I'm multicultural, but I'm also white, and I'm middle class and a lot of these families aren't. I get to hear what their challenges [are,] first hand. They trust me ... I'm part of this community. We're in this together.

This information helps Vanessa in her professional life as she helps nonprofit organizations craft interventions for families with similar experiences as the ELAC parents have had. It also helps her as she moves through various social circles and can more effectively engage in dialogue with people of different groups. As an insider within the ELAC community, she is able to see and hear firsthand what parents of English language learners' experience, and she is committed to using that information to make a difference.

In addition to her personal giving and volunteering, Vanessa is also a consultant to nonprofits and philanthropies. She has not had nearly the same difficulties or roadblocks as a consultant as she has experienced as a volunteer. In fact, in the role of consultant she has had tremendous success in moving individuals and organizations into a new awareness of their own strengths and potential. She is respected in the community for her opinions and for her facilitation skills.

Trying to make a difference. Vanessa is a self-declared “terrible” volunteer. It is not because she does not want to help or to put in the effort. On the contrary, she is ready and willing to work. She is a terrible volunteer because the types of initiatives she wants to develop are often threatening to and, thus, discouraged by her fellow volunteers. She is currently volunteering through two primary initiatives: her children’s school and as a part of a women’s giving circle. In both initiatives she is finding the same difficulties emerge.

Leadership at school. As previously mentioned, Vanessa was asked by parents of English-language learners to represent them on the PTA board. Serving on that board was, as she described, “painful.” She found the leaders of the board to be narrowly-focused on their children and unwilling to consider the broader interests of the school and of society.

As an example, Vanessa described going to a school and classroom open house at the start of a school year. At that open house the parents were told that their children were all getting iPads. Much of the conversation was spent on the new technology the children were receiving and how the parents should donate to the school to help continue this great work. Frustrated, Vanessa turned to the PTA president and said,

“[This is] is a really diverse school district. How are we making sure that all kids are doing well and not just our kids at this school that are all high-income kids?”

The PTA president looks at me and she's like, “You know, those schools with those kids, they get more tax dollars.” I was like, “As it should be,” but that didn't answer my question.

In addition to representing parents of English language learners, Vanessa joined the PTA board as a way to promote a more equitable distribution of PTA funds; however,

once Vanessa was on the board, she was able to quickly see areas where parent leadership and engagement could be strengthened. Not only could she see this, but she was willing to give her time and talent to develop parent leadership and engagement. For example, she was willing to take over coordinating with Room Leaders and to develop programs that would allow parents to share their professional expertise in the classroom. However, every suggestion Vanessa made fell on deaf ears. Her fellow board members seemed to have an unlimited supply of reasons why she should not even try to make a difference. Their resistance was strong. She said, “It got to the point where it was like, ‘You know what, this is my volunteer [work] and I really don't want to butt heads with you.’”

Leadership within a giving circle. At the same time as she was butting heads with the PTA, a similar phenomenon was occurring with her volunteer work with a newly formed giving circle.

The giving circle, Vanessa believes, is on the verge of something quite remarkable. The circle is trying use a shared leadership model to inspire and facilitate philanthropy among women. The group currently has approximately \$20,000 to distribute and is in the process of establishing policies and procedures. However, the group has found it difficult to establish policies and procedures using a shared leadership model. It can be done, Vanessa believes, but using a shared leadership approach requires people to let go of their own egos and let go of control. As Vanessa described, “If you can actually step back and let go of control, ... follow the process and control the vision, you’re going to get there better.”

As with the PTA, Vanessa believes there are inconsistencies between espoused and enacted values in the giving circle. There are members of the group that resisted the

leadership Vanessa wanted to offer. She said that for many of them, “If it’s not their idea, it’s not okay. At the same time, [the group narrative] is about shared leadership.” Vanessa is often frustrated. She said:

I don’t need to be in leadership. This doesn’t need to be about me, but let me facilitate this process so we can get there. They don’t want to hear it. Even though a lot of them have hired me and have seen me in work and think I’m a great consultant. [But] when it’s their own project ...

Vanessa wants the group to think bigger. For example, they are concerned about not having made any grants. Vanessa is open to reflecting on whether making grants is what the group should do. Perhaps the group might make community investments, instead, and, in the process, expand their concept of philanthropy. In fact, she wonders if the group’s desire to stick with a traditional grant-making model is actually furthering the same unhealthy dynamic of authority they were trying to move away from when they endorsed the notion of shared leadership.

In reflecting upon these two very difficult volunteering situations, it is important to acknowledge that Vanessa does not believe she has all the answers. As she said, “I don’t always think I’m right. I usually think I’m wrong.” What she wants—and is not getting—from her volunteering is the opportunity to try new ways of operating and somewhat novel initiatives. She would like the opportunity to try to develop parent leadership in the schools or to facilitate a process that really does allow for shared leadership and that really does allow for her to scaffold the development of others’ skills and capacities. She wants to make a difference but feels she is held back by the mindsets of her team members.

The next phase. Vanessa said she has spent much of her 47 years on the planet questioning herself and being hard on herself. This questioning has led to a wealth of insights. It has also lead to deep loneliness because her beliefs and understanding of the world have moved her farther and farther from the thinking of her peers. She has been working on herself all of her life and, now, as she said, wants to “turn it off now.”

Rather than turning her thought processes off or even dialing them down, Vanessa actually seems to be trying to think even bigger. She wondered, “What is the potential of the change I could make? Is this extent of it, or is there more?” When asked what that change might look like, she recounted the story of having introduced a reputable foundation leader to a nonprofit leader of color. That nonprofit leader went on, with the foundation’s help, to do great things. Vanessa would like to help create a world where the mostly Caucasian world of private foundation leaders would find and support similar sorts of highly productive minority leaders without needing an intermediary like herself.

When Vanessa considers the change she would like to have in this world, she also considers stepping back into a formal leadership role at an organization not because she wants this role, but because she feels the responsibility of being a “GenXer”. She has come to believe that what is happening now with the millennials is similar to the “dotcomers” of her generation. She sees so many of them wanting to start their own businesses—usually a social enterprise, similar to how many of the GenerationXers did decades ago. However, she also sees that the stakes are much higher. If the dotcomers failed, they lost their business. For the Millennials engaged in social enterprise, people’s lives are at stake. Millennials believe they have the answers but do not have the wisdom that comes with experience. Vanessa said, “I’m not willing to just sit back and let you

guys think you know how to do it. There's some true ways of doing some of this stuff [social change].”

Vanessa is not sure what will happen next in her life. She half-jokingly remarked, “I've got mission creep.” Vanessa can feel that a change is coming, but she is not trying to control how that change comes, if it comes at all.

Part II: Theory-Based Analysis

Vanessa exhibits the characteristics of someone who operates with a late-state Individualist action logic, i.e., someone who is on the cusp of embracing a Strategist action logic. The characteristics associated with both of these action logics were presented in Table 7. They are repeated here in Table 13. The discussion that follows will be organized around the characteristics of Individualists listed in the table. Where appropriate, characteristics of an emerging Strategist action logic also will be discussed.

Table 14

Core characteristics of the Individualist and Strategist action logics

Action Logic	Core Characteristics
Individualist	<ul style="list-style-type: none"> • Is aware of and often questions and redefines his/her own perspectives • Focuses on long-term goals and outcomes, but considers these goals within a broader context • Is sensitive to individuality and to context (both historical and present day) • Seeks feedback as a way to determine if s/he is meeting self-defined standards and goals; uses feedback to determine whether and how those standards and goals should be reevaluated
Strategist	<ul style="list-style-type: none"> • Oriented to long-term goals and outcomes, and sees goals and outcomes as inseparable from the learning process of everyone involved • Is so familiar with the process of redefining his/her own perspective that s/he becomes interested in helping others do the same • Enjoys playing a variety of roles

Action Logic	Core Characteristics
	<ul style="list-style-type: none"> • Locates their work within a broader context • Open to feedback about every aspect of him/herself

Source: Torbert, 2004; Rooke & Torbert, 2005

The Individualist is aware of and often questions and redefines his/her own perspectives. Unlike previous action logics, the Individualist routinely redefines her own perspective. Vanessa exhibited this characteristic on a number of occasions both personally and professionally. She described many instances where she had questioned and redefined her beliefs about her identity, her parenting style, her career, and her political views. For example, Vanessa talked about how, through many conversations with her more conservative husband, she had come to see the inconsistencies in her own political views. Specifically, she stated that her opinions about workers' unions have become more conservative over the years, stating that she has come to believe that "the unions set it up so it's against them... It [the us versus them positioning] just doesn't work."

Vanessa's willingness to reflect upon and adapt her thinking is a hallmark characteristic of an Individualist; however, she does not stop there. Vanessa sees great similarities between herself and others despite obvious differences. For example, although she remains far more liberal than her husband, she generally finds there are more places of agreement than disagreement in their thinking, particularly about their core values. Her willingness to embrace the similarities of thought (i.e., core values) even as she holds the tension of opposites (i.e., liberal verses conservative) is illustrative of the Strategist's comfort with paradox and orientation toward mutuality.

Despite her ability to access more Strategist-oriented ways of thinking in this aspect of her life, Vanessa is assessed here as operating as a late-Individualist. One

example of why this assessment was determined occurred during the end of the second interview. Vanessa had spoken at length about ways in which she had questioned herself, her ideas, and the status-quo of the world around her (i.e., PTA, giving circle, parenting, and more). As fun as all of this questioning has been, for Vanessa, she indicated it is also exhausting. She said that, after 47 years of questioning herself, she is ready to “turn it off.” It seemed as if she had spent so much time redefining her own perspectives that she had become sick of the process, a sign that the Individualist action logic was losing its luster. A Strategist would not be interested in turning off the redefining process because that process would have expanded to include others. This happens in two ways. First, Strategists account for the developmental process of others in their plans and, second, Strategists engage in what could be described as a co-redefining process with others. This co-redefining process shifts the redefining process from being self-enclosed (i.e., the person is responsible for redefining his or her own thoughts) to a mutual process (i.e., redefined thoughts emerge through dialogue and in relationship with others). As Strategists include others in the process of redefining ideas and possibilities, their experience of and enthusiasm for the redefining process is renewed. Vanessa appears to be on the cusp of a developmental shift: tired of engaging in a solitary redefining process but not yet sure what other ways exist nor how to engage in new behaviors with those with whom she volunteers.

The Individualist focuses on long-term goals and outcomes, but considers these goals within a broader context. The Individualist, like the Achiever, is interested in pursuing long-term goals; however, the Individualist approaches these goals within a broader context. Vanessa demonstrated evidence of this behavior on many different

occasions. For example, she was asked to join the PTA to represent the English-language learning students and parents. Upon joining, she quickly realized that the PTA was underutilizing its volunteers. In particular, she saw that, with a little planning, the position of room parent could become a) a more effective structure to deliver information and b) a leadership capacity-building experience for the volunteer. These types of adjustments, she believed, would improve the quality of candidates applying for PTA board membership. It would also serve as a professional development opportunity for the volunteers, at least some of which were either stay-at-home parents who might one day look to re-enter the workforce or working parents for whom leadership skills might be useful professionally. Vanessa was eager to experiment with these ideas in the relatively small context of her children's school and, if successful, believed the ideas might be applied at a regional or national level. Her plan was decidedly local and had clear objectives (i.e., increase flow of information to parents and build the pool of potential board members) but, consistent with an Individualist action logic, her thinking demonstrated a clear consideration for these goals within a broader context (i.e., provide professional development opportunities to parents and, potentially, create a leadership development process which could be replicated).

The Individualist is sensitive to individuality and to context (both historical and present day). The Individualist is sensitive to unique expressions of individuality and pays attention to the context in which those expressions emerge. Vanessa provided evidence of this on many occasions, three of which stood out as especially good examples of Individualist thinking.

First, Vanessa has integrated with great fluidity the many seemingly disparate aspects of her heritage. She spoke of having the “double privilege” of being both a fair-skinned, English speaking person and a Latina. She came from a family that was both Catholic and Jewish, working-class and wealthy. Vanessa described learning how to be “both/and” in regard to her multi-faceted experience of nationality, race, and socio-economic status; and, this process required simultaneously embracing all parts of herself but not over-identifying with any particular part. Instead, she allows these multiple aspects of her identity emerge naturally at different times and depending on the situation. As she reflected, “If I was trying too hard to define myself, I wouldn’t have really found myself.”

Second, the fluidity with which she embraces her own identity, despite years of feeling like an outsider, has also made her sensitive to others’ experiences. For example, she recalled the time when she encouraged the largely Spanish-speaking parents of English Learner Advisory Committee (ELAC) to consider reaching out to the three or four Chinese-speaking families at the school. Those families were also English language learners but, until her suggestion, had not been actively recruited to participate in the ELAC.

Third, Vanessa is open to the individuality expressed by clients of nonprofits she seeks to support. For example, Vanessa once helped create a leadership development program for residents of a distressed neighborhood. This program included advocacy and media relations training. One of the graduates of this program used the skills she learned in the program to organize a boycott of a Planned Parenthood fundraiser. Vanessa’s colleagues were stunned that a participant was protesting an agency they felt had done

such good work in the community. Vanessa had a different perspective: Vanessa believed this woman's efforts were evidence that the resident leadership program has been successful. The resident was, in fact, exercising leadership in her own unique way.

Vanessa's sensitivity to and, particularly, the fluidity with which she allows for individuality—both her own and others—is consistent with an Individualist action logic.

The Individualist seeks feedback as a way to determine if s/he is meeting self-defined standards and goals; uses feedback to determine whether and how those standards and goals should be reevaluated. Individualists welcome feedback not only focused on goal accomplishment but also about the appropriateness of the goals they are trying to accomplish and the standards they use to assess goal attainment. Vanessa meets these criteria of an Individualist. She demonstrated an openness to feedback and a willingness to reevaluate any and all of her goals and ideas, examples of which have already been discussed in the theory-based analysis. She becomes frustrated, however, when her colleagues are uninterested in or threatened by the new ideas she presents. This indicates that, in regard to her PTA and giving circle work at least, her feedback loop is somewhat self-contained. She redefines goals and ideas by herself and not, as a Strategist might, in dialogue and relationship with others.

Vanessa did indicate she has a deep desire to engage in dialogue with others who also seek to redefine their ideas but, to her dismay, she has found few willing partners even amongst her close friends and family. She wondered with a touch of sadness, "Who do you have these conversations with?" This loneliness is often experienced by Individualists in general and, particularly, by late-stage Individualists. The irony here is that her tight hold on the end result of the redefining process (i.e., the new PTA model or

her facilitation of the shared leadership model) prevents her from leading a redefining process that occurs in collaboration with others. This subtle shift in focus—a shift indicative of a Strategist action logic—would, quite possibly, alleviate much of the loneliness and help her gain the political support needed to implement some of her ideas.

For Vanessa, this loneliness is compounded by the rejection—a noteworthy form of feedback—of her ideas by colleagues in both the PTA and the giving circle. Vanessa understands why her colleagues might be afraid or hesitant to allow her to explore the types of ideas she suggests; however, that knowledge does not make the situation any less lonely or painful. Vanessa's response to this rejection, which, as previously described, includes frustration that others cannot see what she sees, is also characteristic of an Individualist.

Conclusion. Vanessa is operating out of a late-Individualist action logic. Evidence of this action logic includes her pattern of questioning and redefining her perspectives, her focus on long-term goals within broader contexts, and her sensitivity to individuality. It appears as if Vanessa may be on the cusp of transitioning to a Strategist action logic. For example, Vanessa's sense of loneliness in the process of self-reflection and her desire to turn off the self-reflection is evidence that the Individualist action logic is no longer an attractive or sufficient lens. Additionally, the types of projects she would like to develop—such as the PTA as a leadership development process—are the types of projects a Strategist would likely create. In short, though she is still acting out of an Individualist action logic, she is on the cusp of transition to a Strategist action logic.

CHAPTER 7:

ANALYSIS OF CASES #8 AND #9

Case #8: Stacey: Working Along the River of Education

Part I: Narrative Analysis

Stacey, it seems, is always looking outward. “It’s beautiful out there,” she told me, “and there’s pluses and minuses and there’s challenges and wonderful expressions of good. And so you just have to figure out where you want to be in that life.” In many ways, she is still figuring out how she wants to be in that life. The journey so far has certainly had some unexpected turns along the way but, as she looks back, she can see how the winding road was always pointing her in the direction of children and education. She has learned about many different issues—military, homeless, foster care issues—during her lifetime, but, as she said, she has come to believe that “education is the way people grow forward.”

Her own education was hard-won. It took Stacey more than six years to work her way through an undergraduate degree – a major in Psychology and minor in Math. To this day she still tears up as she talks about struggling to pay for her own education.

After college, Stacey worked in the public affairs division of the local public broadcasting station. This position satisfied the intellectual appetite of this self-described policy wonk and, at the same time, exposed Stacey to areas of the county in which she worked and lived she had never seen before, including the more distressed areas. She moved on to work as a video producer for continuing education programs for organizations such as the National Science Foundation (NSF).

Stacey's work with the NSF had a particularly strong impact on how she thinks about social change. In the early 1980's, NSF was developing a continuing education program for teachers, and she was responsible for documenting best practices and, then, producing education programs that were distributed all over the United States via satellite. During this time, Stacey had the opportunity to travel to some of the poorest, roughest neighborhoods in the United States. She visited places like the Bronx, where she needed physical protection, and the rural South, where she stayed in small towns that, even in the early 1980's, still used outhouses instead of indoor bathrooms. It was during these trips she realized that accessibility was not access-ability. In other words, even when education is available, children are not necessarily able to access education. There are a lot of other variables—such as the development of early literacy skills and parental support for completing homework—that affected a child's educational success.

It starts at home. Changing the world, for Stacey, has always meant starting at home. She and her husband tried to be very thoughtful in their parenting. Instead of purchasing a fancy house in one of the richer neighborhoods, they lived in a modest home in a nice but relatively modest neighborhood. Even french fries and other fast food were rare treats. The family did not have cable TV during the children's elementary school years, preferring public television and videos to the commercial-laden cable shows. The children—now 26 and 28—went to public schools and, at Stacey's insistence, each read a novel about Calcutta in the seventh grade. Stacey wanted them to know “it's not a God-given right that we were born here. It's a crap shoot. If we pretend like it's our right, that we're entitled to it [material comfort] because we were born here, then we are morally corrupt.” In fact, Stacey's children have no idea how wealthy the family is. She and her

husband have never shared the details of their finances, mostly because she wanted her children to find out who they were before they are saddled with the burden of being wealthy.

Reflecting back. Now in their sixties, Stacey and her husband can relax somewhat after having raised a beautiful, healthy family and, for her husband especially, having navigated a successful career. As she said, her husband, Dean, has been able to “do what he loves, which created a company, which created wealth, which made us wealthy.” Of course, they worked hard for what they have. She said Dean, “is brilliant. There’s no issue there.” And he found a business partner that was equally motivated. And he found a life-partner that was supportive of years of last minute emergency business trips around the world. And yet, at the same time, she knows there is an element of luck. She said, “It’s capricious. It’s a crap shoot.” Stacey realizes that nine out of ten businesses fail. Theirs could have easily been one of the failures. Yes, they worked hard, but it was not their hard work alone that guaranteed their success. As she acknowledged, “There’s timing. There’s luck. There’s hard work. There’s intelligence. There’s all of those things, but it’s not because we’re better or we deserve it.”

Stacey and her husband still do not know what to do with all of the money they have been blessed with, but she is committed to looking outside of herself and seeing where she may be helpful. Despite being a self-proclaimed “bleeding heart liberal,” Stacey does not just want to help, she wants to be as thoughtful and as smart as possible in her philanthropy and, ultimately, create impact. And the impact she wants to create can be summed up in the adage, “A rising tide lifts all boats.”

Entry into philanthropy. Stacey's entry into philanthropic activity began modestly when she became involved at her children's schools in the late 1980s and early 1990s. She volunteered for the Parent Teachers Association (PTA) and gave small amounts of money for school supplies and to support special program. She described these actions as being "low key and very directed to my needs or my school's needs." She began to realize that by only helping her children's schools she was creating an uneven playing field. Sure, her children benefited, but, because other children in schools with less wealthy parents did not have the same access, her children were now disproportionately better off. Eventually, Stacey came to see how this uneven, self-oriented philanthropy could perpetuate income inequality. This realization was both sad and frustrating for Stacey, but it also made her think about how she could make a difference. She eventually became the president of the school PTA and then president of the district-wide local education foundation. She assumed both of these responsibilities in order to encourage a better distribution of donated funds. She found that about half of the parents were receptive to her message. They knew that a more thoughtful distribution of funds would, eventually, be better for society. However, about half of the parents wanted their personal gifts to only, as she said, "benefit their kids, even if their kids had all the benefits already."

In addition to wanting funds to reach as many children as possible, Stacey also wanted the principals and district leaders to have a say in where the money went. Part of this decision was related to accountability. She asked herself, "How do you hold people accountable?" The answer was fairly simple: involve the key stakeholders. She believed people will not want to be accountable for that which they did not help create.

Additionally, she also recognized that principals and superintendents know better than parents what is needed at their school and, consequently, should be part of key decisions. Stacey believed that allowing districts and schools—not parents—to decide where and how the local education foundation funds are spent would result in the most effective and equitable distribution of resources.

Becoming a savvy philanthropist. In the 25 years or so since her entry to philanthropy through the PTA, Stacey's views on giving have changed significantly. She has tried to educate herself by reading the Stanford Social Innovation Review and joining Social Venture Partners (SVP) and, over time, this education has changed how she donates. In the past, she and her husband would give small gifts to whomever asked: \$100 here; \$50 there. These gifts, she learned from being a nonprofit board member, can do more harm than good. If she gives \$100 to an organization she has no intention of supporting at a higher dollar amount, she is, essentially, committing that development department to pursuing future gifts from her that will never materialize. This wastes staff time and frustrates both her and her husband. She has decided not to give gifts less than \$1,500. She has come to believe that if she is not willing to invest at least \$1,500, it is not worth giving anything. She has developed a house rule (mostly for her kind-hearted husband): never give over the phone because you cannot thoroughly vet the organization. She has also learned to review nonprofits' IRS 990 Forms, looking for key indicators such as how much nonprofits spend in different budget categories, how much nonprofits pay outside fundraisers, and what is the ratio of overhead to program costs.

While she has developed a solid system for vetting nonprofit organizations, Stacey is not rigid about her philanthropy or her personal beliefs. For example, she

believes that Greenpeace is, in general, too extreme; but, she recently donated to the organization because of their work on climate change and ocean acidity. She is extremely concerned about the future of the environment and thinks people do not realize how much, for example, the oceans impact the world. She said, “I think [Greenpeace is] extreme, but I think the pendulum goes both ways, and sometimes you need that extreme to push on it. We need that right now.” She gave her personal minimum gift of \$1,500 to Greenpeace, and currently is looking to fund at a higher dollar amount a project or program that places effective pressure on key decision makers. She described the process of revisiting her ideas about Greenpeace as part of her education process as a philanthropist.

Stacey’s current philanthropic activities, much of which will be described in detail in the coming pages, are focused on youth and education. She wants to see a more educated, prepared workforce, and, in order to develop such a workforce, she wants to contribute to education at all levels of the spectrum, from birth to graduate school. She also thinks it is important to understand why students are failing. She likens her philosophy to the parable of a man who sees babies float down the river. One by one, he pulls the babies out of the river. To make real change, Stacey believes, we must find out why babies are being throw into the river to begin with. In other words, it is important for philanthropists and nonprofits to focus on what is happening “upstream.” She said, “If you don't look upstream, I'm not going to support your organization.”

Bigger gift, bigger impact. Stacey and her husband recently gave the largest gift of their lives: more than a million to scholarships at a local university. The funds are earmarked for youth from local, impoverished neighborhoods to attend school. This gift

is both deeply personal—Stacey herself struggled financially to attend this school—and thoughtfully systemic in that this gift represents one of the many places Stacey has contributed along the stream of education. Despite this being a deeply personal gift, Stacey has no need to stay connected to the students who benefit from this gift. She said,

I don't care. I don't need to meet them. I'm not one who needs to feel like I personally touched their life [sic.]. I just need to know that the community is increasing its ability to employ people and to educate people. That's enough for me.

She trusts the people making the acceptance and scholarship decisions to choose the most deserving youth. The youth must have been accepted into the university, a challenging feat in and of itself. And, she said, “Once they get in, then, yes, I'm willing to support them to stay there because I know how hard it is to work your way through school.”

Connecting the dots. Stacey is a longtime volunteer and a 10-year board member for a local children's choir. Her daughter, now 26, participated in this choir from the time she was eight until she left for college. In addition to being a beloved hobby, Stacey credits this choir with much of her daughter's success in learning four languages. Singing is a powerful workout for the brain, she told me; when you sing, “you actually get endorphins like a runner does and, yes, it really facilitates language [learning].” Observing her own daughter's progress, Stacey had become interested in the relationship between singing and literacy. She wonders, could singing possibly improve early childhood literacy? She knows from research that many low-income youth do not have the same exposure to language as their middle- or upper-class peers. Stacey said she has come to believe that “there's a potential for music at that early age to help increase the

neural pathways for literacy.” She wants to facilitate a research experiment to see if this is indeed the case. And, if it is true, music education in the preschool years could potentially change the trajectory of many children’s lives. She said, “It would be a game changer for so many people.”

In order to run the research study, Stacey needs to find a reputable research team to take ownership. Here is where Stacey’s philanthropic worlds collide. Stacey recently joined the board of the foundation for the university to which she and her husband have given well over a million dollars in scholarship funding. She believes she was invited to join the board because she gave such a large gift. However, she accepted the invitation with a broader vision in mind. This university is nationally renowned for its research. She already has started to have conversations with the university about working with the choir to conduct research on the relationship between singing and language development.

Even as she is working on research that could be a game changer on a national scale, Stacey is also working to improve the county-wide educational system where she lives. Very little money flows into her county from large foundations such as the Gates Foundation or the Packard Foundation which support educational reform elsewhere. This, she believes, is largely because there are more than forty separate school districts operating independently in the county. She recently joined the board of a new organization, County Education Project (CEP), whose mission is, as she described it, “to create a cohesive way to funnel money on a large scale.” The organization is currently pursuing two initiatives. One is a so-called linked learning initiative in which traditional academic school subjects—e.g., English, math, and science—are connected to a common thread related to job training. For example, if a school is focusing on biotechnology, all

classes are somehow related to that topic. The second initiative is focused on children ages three to 3rd grade. Currently, local superintendents and researchers from all of the major universities are convening to see what possibilities might arise if they coordinate their efforts. The organization will eventually develop a third initiative for which to pursue external funding, but that initiative has yet to be determined.

Working at many points along the river. If we remember the story of the man fishing babies out of the river, we can see how Stacey is very consciously working at many different points along the river. As a board member of CEP, she is working with early literacy and education for youth 0 to 9, and, through that same organization's linked learning project, Stacey is continuing that support through high school. Her work on the children's choir and the research project she is hoping to initiate will, potentially, offer a new way to backfill gaps in early literacy. And her recent large gift for university scholarships ensures that more students from low-income families can access a college education and that the university can recruit high-quality graduate students that will contribute to society's growing body of knowledge.

Stacey believes that a multifaceted approach is necessary. As she said, "No one solution fits, so you have to attack the problem on many different levels." Although she has consciously managed to support the process of educating youth from birth to graduate school, she is adamant that she is one piece of a larger puzzle. She said, "To me, I'm not managing [the reform of education]. I'm participating in it.... I found places where I can participate and give time, talent, and treasure and donate, and I can see what the effects are." She is consciously doing her part and recognizes that she needs others—other

philanthropists, nonprofit leaders, educators, and even the youth and families she helps, themselves—to participate if real change is to occur.

Helping others think differently. Over the years, as Stacey solidified her philanthropic commitments to education, she has inadvertently become an educator of sorts. At its very core, most of Stacey’s work is about helping others to think differently about the possibilities in their lives. As she said, “People who are living the issues have to think differently about their lives. The best we can do is help them find those different paths.” In addition to working with disenfranchised youth, she also talks about helping families become critical media consumers, encouraging businesses to think differently about their role in society, and helping board members to understand and embrace their responsibilities.

She said believes people are (or feel they are) helpless:

because they don't see any other options. They don't go, “Oh gee, I think I'm going to be helpless.” They just don't see options. If they're part of the solution, then they see those options, they create those options, and, then, they can live those options.

Stacey can certainly understand how it would be hard for many people to see the solutions she, from her position, can imagine. She believes that many factors—from education level to early parental involvement to personality to social pressures—all affect individuals’ perceptions of their lives and can lead some to make poor choices. Herein lies the paradox. She said, “It's not their fault. But they do have to accept responsibility at some point. We have the responsibility to help show them that there are other ways.”

Stacey believes that, for systemic change to occur, nonprofits also need to think differently about the work they do. She has seen many nonprofits stay small because that is the size the founder or executive director can manage. Small is what they have mastered, and going to scale is the scary unknown. She said, “I think there’s a lot of ego in it. We all have to have healthy egos to do this stuff, so that's not the negative. But the negative is how to keep your ego [and still make room for growth].” Stacey asks herself questions such as: How do we take what she described as the “magic sauce” of the program and make it process-based, not people-based? And, how do we do that and, at the same time, still honor the people involved? Stacey is currently working with at least one organization around this issue, and she acknowledged the work is very difficult. In addition to issues with the executive director or founder, one of the reasons such growth is difficult is that board members often do not want to say anything negative and they do not know what success should look like. This happens with both small and large boards.

As Stacey learns to help others think differently, she, too, is learning to think differently. Lately, Stacey has had the opportunity to participate in design thinking, or rapid, entrepreneurial-like prototyping processes that help move a group quickly from problem to solution. She enjoys working with other philanthropists and participating in this bottom-up creative process, watching as real solutions emerge; and, at the same time, she recognizes there is another group of people that need to be included: the clients. She said, “I think the most organic situation is bringing people who are living the issue in and doing it bottom up, you know. That's even a bigger step.” Stacey would prefer to participate in client-included processes and is looking for these types of situations where she can be useful. She does not want to push herself into a group, or participate if she

knows she cannot make both a personal contribution and lasting commitment to those involved. It is not, after all, all about her. It is about the people she is trying to help and the processes that will help more than hurt. As she said, “You need to find a way to be authentically in the system.”

Working at both the personal and systemic levels. Stacey believes her next growth edge is learning how to work simultaneously on multiple levels. At the local level, small nonprofits—including the ones seemingly handicapped by the egos of executive directors—can be extraordinarily effective. Perhaps it is because they focus at the hyper-local level and have cultivated grassroots connections that such nonprofits are able to get things done. They keep moving, even if only incrementally. This on-the-ground action is important, no matter how small the effort. However, at a broader level, larger cultural and systemic shifts are needed. She said that “to have systemic change happen, you have to have a lot of people creating that at the same time.” When you start to think about change at this level, it is easy to become frozen and stop moving. Stacey believes that some organizations, particularly those that address systemic issues, will need to scale up. She described her burning question as, “How do we get those two [levels] to meet? How do you get one to incorporate the other and systematize it?”

If it sounds like a steep growth edge to climb, it is. But it is also a fun one, according to Stacey. It is easy to see how much joy Stacey experiences through her philanthropy. She said that, for her, “problem solving is a creative process”; she added, “If problem solving can feed my need for intellectual stimulation as well as create change, then it's a win-win.” For that, Stacey is deeply grateful.

Part II: Theory-Based Analysis

Stacey exhibits a Strategist action logic. The characteristics of the Strategist are summarized in Table 15 (a reproduction of parts of Table 7 which was presented earlier). The discussion that follows will be organized around the characteristics of a Strategist listed in the table.

Table 15

Core characteristics of the Strategist action logic

Action Logic	Core Characteristics
Strategist	<ul style="list-style-type: none"> • Oriented to long-term goals and outcomes, and sees goals and outcomes as inseparable from the learning process of everyone involved • Is so familiar with the process of redefining his/her own perspective that s/he becomes interested in helping others do the same • Enjoys playing a variety of roles • Locates their work within a broader context • Open to feedback about every aspect of him/herself

Source: Adapted from Torbert, 2004; Rooke & Torbert, 2005

The Strategist is oriented to long-term goals and outcomes and sees goals and outcomes as inseparable from the learning process of everyone involved. Stacey exhibits the Strategist's commitment to promoting learning even beyond the fact that goals Stacey normally pursues are educational goals. Stacey's overall philanthropic goal is to improve society by increasing the quality of the workforce. She does this through funding and, in some cases, initiating programs related to education.

Over time, the way Stacey has engaged others in the learning process has changed. As a new philanthropist in the late 1980s and early 1990s, she engaged others—such as the principals and superintendents whose schools received support from the local educational foundation she headed—in decision making in order to increase the

likelihood that the foundation's goals would be achieved. This results-driven inclusion of staff was characteristic of an Achiever or Individualist. Lately, she has paid attention both to the more subtle shifts necessary to affect change and to the loss that accompanies such shifts. This shift in attention is characteristic of a Strategist. For example, she discussed several small but successful nonprofit organizations. These organizations are small because, she believes, that is the size at which the executive director knows how to be successful. If the donors or the board of either of the organizations wanted to have a broader impact, they would need to consider helping the executive director through a process that Stacey believes would include both professional and personal development. In short, the process of increasing impact is not just about how to expand the nonprofit's programs, it is a mindset challenge. Stacey believes nonprofit leaders must be willing to let go of the familiar and redefine what is possible. These days, much of Stacey's current philanthropic work is focused on learning how to support people through this type of change process; and her attention to both the personal and professional shifts occurring during this change is indicative of the Strategist action logic.

The Strategist is so familiar with the process of redefining his or her own perspective that he or she becomes interested in helping others do the same. Stacey offered numerous examples of times when she had examined and redefined her perspective. For example, she discussed the time, early in her philanthropic work, when she realized that donating to her children's already privileged school was perpetuating inequality. She also discussed reversing her decision to fund Greenpeace despite her conviction that the organization is, generally, too radical. These sorts of reflections on her

own perspective—the sorts of reflections which tend to capture a person’s attention during the Individualist stage—seemed to be a natural part of her experience.

What often seemed to capture Stacey’s attention, instead, was the task of helping not only herself but also helping others—clients, parents, board members, nonprofit executives, and, eventually, the broader society—to think differently about their lives. This emphasis on shifting the perspective of self and others is indicative of a Strategist action logic, and it is clear that Stacey, over time, she has come to believe that helping others think differently about the possibilities in their lives is the only path to lasting, systemic change. She said, “People who are living the issues have to think differently about their lives. The best we can do is help them find those different paths.”

The Strategist enjoys playing a variety of roles. In general, Strategists enjoy playing a variety of roles, and Stacey also demonstrated this Strategist characteristic. It is clear from the narrative analysis presented above that Stacey is consciously working at many different points along what she described as the “river” of education efforts to enhance educational opportunities for low-income individuals from birth through graduate school, and that this work at different points requires her to take on different roles. For example, she is playing the role of strategic leader by helping the children’s choir redefine its vision for success and expand its impact. With the university, she plays the role of foundation board member intent on promoting and fundraising for higher education; in her board member role, she also functions as an advocate for conducting research into the effects of music on early language development. She also works alongside other philanthropists in the role of participant in workshops to develop social change initiatives, and in those same instances, she also plays the role of client advocate

as she tries to encourage philanthropists to invite clients into conversations about programming. Overall, she seemed to view her philanthropy as a creative process, and it was clear she enjoyed playing these many different roles.

The Strategist locates his/her work within a broader context. Strategists tend to locate their work within a broader context, and, in this regard, Stacey is no different than others influenced by the Strategist action logic. Arguably the most compelling evidence of Stacey's focus on a broad context is her use of the river metaphor to talk about the relationship between the various philanthropic initiatives in which she is involved.

The breadth of Stacey's philanthropic agenda is also evidenced by her embrace of a rather broad agenda even though she works to help promote that agenda on smaller scale, primarily through local initiatives. As has already been noted, Stacey wants to improve society by improving the education of the workforce, believing that a more educated workforce will help people move out of poverty and into self-sufficiency. This is a broad agenda, indeed. Stacey's work, however, is focused locally and eminently doable. It includes funding scholarships for higher education, her collective impact work with a county education agency, and her promotion of a research study of the impact of music on language development. Each of these ideas is relatively small and modest, but, as one would expect of initiatives embraced by someone operating with a Strategist action logic, all of them are informed by and responsive to a much broader agenda.

The Strategist is open to feedback about every aspect of his- or herself. For example, Strategists "use their awareness of others' points of view to question and revise their own goals" and they see "implementation as an iterative, developmental process

involving the creation of new shared understandings, leading to the repeated reframing of problems” (Torbert, 2004, p.111). In short, Strategists’ openness to feedback is part of an on-going process of reframing ideas; and, unlike an Individualist whose reframing may be informed by others but, ultimately, happens within their own self, the Strategist invites others to participate.

Stacey demonstrated an openness to feedback consistent with a Strategist action logic. Most recently, it appears her openness to feedback includes an eagerness to invite others to co-create possible solutions. Her work on the Community Education Projects and her desire to engage residents in change initiatives is one example of this desire to invite others into the reframing process. For example, she had recently participated in a design thinking workshop and, in this workshop, engaged with others in the rapid-prototyping of ideas to solve social problems. She enjoyed the process of the workshop but recognized that important voices were absent from the conversation. Sitting in a room filled with wealthy individuals, Stacey realized that those individuals whom they were trying to help should have participated in this workshop. Their ideas, their suggestions should also be included. Consistent with a Strategist action logic, Stacey believes the process of co-creating solutions with residents is key to finding a solution that will work. She was not using client participation as a way to strengthen or revise her own ideas, as an Achiever or Individualist might. Instead, she saw the inclusion of residents in the workshop as a way to co-create a solution more effective than what either group could have achieved on their own.

Conclusion. In short, Stacey is operating at the level of a Strategist. She is oriented to long-term goals and outcomes and, yet, she sees goals and outcomes as

inseparable from the learning process of everyone involved. She has sufficient experience examining and redefining her own perspective that her attention has turned to helping others do the same. Additionally, she plays a variety of roles, is open to feedback, and considers a broader context about the work she does locally.

Case #9: Phyllis: Building Trust, Paving the Way

Part I: Narrative Analysis

As a third generation Japanese-American, Phyllis always felt like an outsider at school. As the daughter of a live-in maid to a wealthy family, Phyllis also felt like an outsider at home. Although there was a lot of love both in her nuclear family and in the family with whom her family lived, Phyllis described spending much of her childhood observing others or, as she said, “seeing their joys, seeing their disappointments.” The ability and willingness, at an early age, to see life through someone else’s eyes greatly influenced the person Phyllis became professionally and philanthropically.

As will be described in this section, Phyllis’s first career was in banking where, as a general manager, she created an environment that promoted community in the work place. Later, at a biotech start-up company, Phyllis was a senior leader for a team that grew from less than 100 to approximately 1,000 people and that would, eventually, create a blockbuster cancer therapy. This company, often on the brink of financial collapse during its early years, was fueled by the volunteer-like zeal of employees. Later, as a board member and philanthropist, Phyllis began a pattern of engaging organizations in strategic thinking, promoting cross-sectoral collaboration, and carefully crafting opportunities for staff and board members to develop themselves, even as they develop the organization. All of this was aided by Phyllis’ ability to see the world through another’s eyes.

A conscientious listener. Phyllis was a shy child. While her older sister was outgoing, Phyllis was reserved and preferred to take a more reflective approach to social life. She said,

I tended to study things a lot more. I tended to study people, tended to try to figure out things. I've read a lot. I watched a lot of old movies and things like that. [I was] somebody [who] likes to take a lot of things in and learn from it. I did a lot of that. I did a lot of observing through most of my younger life, but always felt that where I did feel I was gifted was more in my intellect, I guess, and my ability to perceive things.

As a shy child, Phyllis was never someone who “put her opinions forth first.” As an adult, she has learned that listening to others first is a way to build trust and rapport. In business and in her philanthropy, listening more than speaking has been an important strategy for Phyllis because, as she said, “the more people feel their perspective is acknowledged, the more progress people can make together.”

It is not always easy to see the world through another person's eyes, and it certainly cannot be only an intellectual activity. She stated, “Sometimes it's the emotional experience that has as much resonance as the educational one.” Phyllis remembers a particularly painful—and enlightening—training session on diversity she participated in as an adult. The trainer singled her out in front of the class and announced publically that he felt, just by looking at her, he would not be able to relate to her. He then listed all of the things he did not like about Phyllis. At first, she was shocked. She asked herself, “Why in the world is he saying this to me?” Then she remembered the lessons of her father: “Try to understand where people are coming from first.” So she listened. And thought. She came to realize that his perceptions of her are all about him and his past experiences. They are not a true reflection of her. This realization has empowered her to

not take criticism personally and, at the same time, encouraged her to reflect upon her own prejudices.

Business school and beyond. Phyllis got her Bachelor's degree in English and, just before graduating, was encouraged by her friends—and persuaded by the financial instability of her mother suddenly becoming disabled and unable to work—to pursue a master's degree in Business Administration. It was in her MBA program that things in her life began to make sense. As she described, “It was a language I could understand and, for the first time, I actually felt totally confident in what I could do.” She was judged in business school, and, for the most part, throughout her business career, by what she could do with the knowledge she had. “It was a totally liberating experience for me,” she noted.

Phyllis and her husband met in business school and they clicked immediately. As she recalled, “within two days we kind of knew, we cared deeply about the same things.” Among other things, they shared a deep commitment to putting family first. Both wanted to help provide for their parents and their siblings, and both wanted to help the broader community.

The coursework in business school was fairly easy for Phyllis, and, after she completed her degree, she sought employment in the banking industry, an industry known for giving young professionals both experience and a career ladder to climb during their tenure in the organization. She recalled choosing the particular bank for which she worked because she said it was “a vehicle to strengthen communities and give people more economic opportunities.” And, from her very first employment interview with bank personnel, she knew she would be working in a values-driven environment.

She recalled asking the interviewer how he viewed the customer. His response was something to the effect, “We're here to help individuals reach their potential, and we do that in these different [ways].” This response led Phyllis to believe this was a bank at which she could both do good and further her career. And, in the beginning, it was.

Phyllis began in the banking industry during its golden age, when localized service was prized. Banks were community-based establishments with unique organizational cultures. As that began to change, and her bank began to acquire smaller banks, Phyllis's experience began to sour. She was one of the first people to work with smaller (newly-acquired banks). She would work with the staff and let them know what to expect during the merger. “Then,” Phyllis recalled, “that [culture of the small] bank disappeared and it was some of the most depressing work I had ever done. I felt like somebody leading the lambs to slaughter, and it was just such draining work.” People would lose their jobs and what she described as “beautiful community banks” would lose their identities.

As Phyllis's banking career became increasingly unsatisfying, she began looking for a new opportunity. At this point she had approximately twenty-years of business management experience and, still, a deep desire to do work that was meaningful and that helped people.

For-profit “volunteers”: **The birth of a pharmaceutical company.** At the encouragement of her husband, Phyllis began to look into the biotech industry for her next career. She did not have to look long before she was hired as a human resources consultant to a start-up company, a company that would eventually develop an

internationally-recognized blockbuster product, a product that would leave her and her husband with more money than they had ever imagined having.

But, when Phyllis joined the company in the early 1990s, the innovative therapy was still in the research phase and the group of employees were as committed to their hopefully-soon-to-be product as most volunteers are committed to their nonprofit causes. Understanding employees' volunteer-like zeal was the key for Phyllis to successfully managing this company's human resources.

Phyllis's background in charity work had prepared her well. For many years, Phyllis had served as a volunteer fundraiser for her university and, as such, she had already realized that volunteers "have to be inspired, they have to be motivated in a very different way and managed in a very different way than employees would be, and that you have to preserve that precious spirit that they have." She described volunteers' motivations as a "living spirit" that one must be careful not to tarnish.

This deep respect for the "living spirit" of volunteerism became a strong part of her work in taking a now well-established pharmaceutical company through its early, rocky years. At the time, the company was developing a drug they believed would one day save millions of lives. But there was no guarantee that this would happen. It typically takes more than a decade for a drug to be developed and ready for market. In the meantime, Phyllis, who was in charge of human resources and strategic planning (among other responsibilities), remembers a particular time when she carried around dissolution papers in case funding ran out and she needed to terminate employees.

During those long years of anticipation, the employees at the then relatively-unknown company had to operate with what Phyllis described as "bravery" and

“commitment.” She stated, “People won't work that hard or that creatively and durably if they don't really believe that what they're doing is to save lives or relieve suffering.” And, as she recalled, everybody was on board with the mission of the company, which was much deeper than just making money. Many of the employees had been recruited from larger corporations and were able to bring deep expertise and wisdom to help develop both a new product and, simultaneously, the company itself. Phyllis said:

Everybody was so committed and willing to work as a team, bringing highly specialized knowledge to bear on difficult problems and people had a sense of humor, they have the sense of having fun. Again, all of us who had volunteered to give [up] the big corporate environment knew what was missing and so we actively created what we wanted at the new company. I think it was an inspiring place to work.

As a company that was deeply committed to saving lives and, at the same time, struggling financially, Phyllis recalled a sense of gratitude that pervaded the early years. “We were always very grateful,” She told me; “we were so grateful for whatever we had at whatever stage.”

Phyllis, the generalist at work. Phyllis had a strong hand in making the company both a financially successful and an inspiring place to work. She started as a consultant to the company. She was eventually hired to lead human resources and strategic development. Along the way, she was also charged with a number of other high-level responsibilities including managing (from a business and strategic perspective) the development of a second product. Her responsibilities kept growing, but her official

position title never kept up. It did not matter. As she described it, “There was incredible flexibility in the company where people could do things that they wanted to try.”

Phyllis and the CEO were the two people in the company who considered themselves general managers. Phyllis’s skillset was more diverse than many employees, most of whom focused on specific functions such as manufacturing, finance, or research, and, consequently, she played the role of generalist, tackling the diverse challenges of human resources, strategic management, and product development. This multi-faceted role provided intellectual stimulation, a diversity of experiences, and the opportunity to use what she gained in one area of the company to help another. She both thrived in and loved this role. The role of generalist also came with a few challenges, however. Phyllis, ever the team-oriented player, for example, was disappointed when others did not share her commitment. She described this challenge as follows:

I think it [the challenge] was more around with people who were not open and trusting, when I found that people would not follow through on what they said they would do, or take things in a direction that was self-serving as opposed to more team-oriented. Those were the kinds of things I probably found more disappointing.

Phyllis, the generalist in philanthropy. Phyllis’s first taste of philanthropy was as a young child, volunteering with her friends for UNICEF. She recalled that this was the first time “when I felt that there were always things I could do to improve other people’s situations even if it wasn’t monetarily.” Later, in college, Phyllis volunteered to raise funds for her school. As an adult, she became interested in board service when she, while working in banking, joined the boards of a United Way chapter and of a School of

Psychology. At first glance, this pairing might seem odd, but Phyllis always saw a connection. For example, sitting on the board for the psychology school gave her insight that helped her to oversee the employee assistance program at the bank where she worked. As she said, “There's really always some tie [between what I'm doing in one aspect of my volunteer work and in the rest of my life], but I'd like to have, again, a portfolio approach to the things that I do.” Such a generalist approach is important because, as she described, what she does in one organization or situation typically enriches what does in other organizations or situations.

Now retired, Phyllis has become the generalist in philanthropy she once was in business. She looks back and sees how she has served on many different boards representing a variety of missions such as youth development, higher education, arts and culture, and grantmaking. She also, as will be described in the ensuing section, uses her business acumen to improve the organizational effectiveness of the agencies and foundations with which she works. While doing this work in the philanthropic realm, Phyllis seems to care as much about process of defining and working with a team toward a mission as about the mission itself.

Multiple strategies in philanthropy. Phyllis subscribes to multiple strategies in her philanthropy. She is deeply engaged with her cause and, often, her work as a volunteer precedes her financial donations. In particular, Phyllis plays the role of strategic thinker at the organizational level, fosters cross-sectoral collaboration at a regional level, and, on both levels, supports the development of staff and volunteers as they work toward a common goal.

Playing the role of the strategic thinker. Phyllis said she “tended to look at everything as a general management strategic clarity opportunity.” As she also said, “Most of the time, I’m playing a similar role in all of these organizations, so it’s more of a matter of just changing the topic.” When choosing a charity to support, she looks for nonprofits with what she called “pain points,” i.e., places where organizational growth is possible. Then, she ascertains whether or not she can be effective by first evaluating the nonprofit staff members’ readiness to embrace a new idea and their openness to dialogue. Then, she assesses the feasibility of the project itself by reviewing the evidence-based research. In looking for places to make a difference, Phyllis also recognizes the importance of timing. As she stated, “If I’m too early, it’s going to be a very bad relationship. If I’m too late, it’s going to be boring.” Overall, she is excited by new frontiers and enjoys finding organizations and staff members ready for change. She said:

I [have] learned that it's more satisfying for me to push people a little bit in terms of getting into an area they're unfamiliar with or a little scared about but I think will be ultimately very rewarding for them. [It's also important] that I can do that without seeming like a heavy-handed donor, because it's clearly coming from a place where I think it's good for them.

One example of Phyllis’ playing the role of the strategic thinker occurred during a recent annual appeal drive at the community college for which she is a board member. Phyllis offered to provide an anonymous matching gift for the employee contribution drive, and she credits this match with boosting employee participation from 22 to 64 percent and helping the faculty and staff establish their own scholarship fund. More important to Phyllis, this process allowed the development staff to reach out to departments on campus

with whom they had not yet collaborated. In previous years, most of the attention and funding had been directed at the arts department. The matching gift opportunity provided an incentive for other departments, such as nursing, to collaborate with the development department. In this way, Phyllis's financial contribution not only increased the fundraising effectiveness but, more importantly, developed relationships that increased the fundraising capacity of the college, in general.

On a similar note, Phyllis has funded nonprofit organizations to conduct research and evaluation projects because she believes reliable data are a critical component of a nonprofit's ability to make a business case.

Fostering cross-sectoral collaboration. As someone who easily hops between sectors, Phyllis believes that cross-sector collaboration is the key to solving some of the world's most pressing social problems. She also understands that trust between sectors is, in many areas of the country, sorely lacking. This lack of trust, Phyllis argued, is largely the result of preconceived notions. She said, "It really was down to, you know, basic human nature. [When people] think somebody thinks badly of them, or they think badly of somebody else..." it can logjam any potential for collaboration.

To address the lack of trust between sectors, she and a colleague created a forum—the Cross-Sectoral Trust—where individuals from a variety of sectors met and engaged in dialogue. Through this Trust, which lasted for approximately two years, Phyllis and her colleague hosted forums, convenings, and other events. They began with a small circle of people they knew well and, over time, expanded the circle through the networks of attendees. The Trust eventually became too difficult for Phyllis and her colleague to coordinate on a volunteer basis, and they are no longer hosting events;

however, Phyllis believes they were successful for two reasons. First, the Trust created real connections for individuals who wanted to work across sectors. Phyllis's goal for every meeting was for guests to both strengthen existing relationships and to meet new people from other sectors. Anybody who attended a past event now, potentially, has people from other sectors to call on for advice and networking. Second, as Phyllis said, "We also legitimized the thought of intentionally working across sectors." This type of work cannot be done in a deadline-oriented scramble but must, instead, be thoughtful, systematic, and sincere. Phyllis believes the Trust paved the way for cross-sector work to happen in her region.

Supporting staff and board members. In playing the role of the strategic thinker to nonprofit organizations and in fostering cross-sectoral collaboration, Phyllis also recognizes that her ideas, alone, are insufficient; other people have to be both engaged and generative partners. Specifically, she believes that, for whatever goal the organization is pursuing, the goal-realization process has to include a learning process for board and staff members. As she said, "I think [their learning and discovery process is] fundamental to getting authentic commitment, and that is what it takes whenever you try to do something new." She also said:

I think people really need a clear destination. They need permission to try things.

They need to socialize the concept with other people to make sure that we're not going off on some wild tangent; then, hopefully, their own excitement is such that it'll carry it forward.

One example of how Phyllis financially supports the growth process of staff members is a fund Phyllis and her husband established for research and staff development at a well-

known, international youth development organization. This scholarship is used for professional development opportunities and programming with a leading business school. She also helps fund, and, in fact, was a founding contributor to, one of the nation's top-ranked nonprofit programs in higher education.

In addition to funding formal educational pursuits, there are many other strategies Phyllis employs to support others' informal learning processes as organizations advance toward a goal. On a general level, Phyllis stated that, in her experience, the key ingredients to moving people along are to “really understand the diverse points of views, [try] not to move too fast in any direction, and always lay a path that was collaborative and communicative and transparent, and still aspirational.” When conflict arises—and it always does, according to Phyllis—Phyllis puts herself in the middle. She has learned over the years that the feelings and actions of others are not personal attacks against her and, in knowing this, she can help people feel listened to and, ultimately, diffuse heated situations and “minimize injuries.”

At the board level, Phyllis has come to believe the most important time to do board work is in between board meetings. She uses in-between time to answer people's questions, to address ambiguity, and to create excitement. Phyllis also uses self-deprecating humor to break the ice and tries to remember to always congratulate others on whatever role they have successfully played in the organization. These actions, she believes, help make the board contribution a little more personal and meaningful for her fellow board members.

Pulling it all together, Phyllis is clearly operating on many levels at once. She is working on a personal level with board and staff members, an organizational level as she

engages in strategic thinking, and, at a regional level, as she tries to foster cross-sectoral collaboration. When I asked her how she knows on which level to work, Phyllis stated,

None of them are more right or accurate than the others, but the strength comes from the ability to incorporate all of them so that people recognize themselves in what comes next. I think that's what people deeply want in this.

In addition to the valuable impact nonprofits have in the lives of clients, Phyllis also recognized that, as a donor, she has been affected by nonprofits. Both she and her husband have been deeply engaged in philanthropic work for many years, and the opportunity to do so has been rewarding. She said, “We both get tremendous satisfaction from taking on leadership roles in the nonprofits that we've been involved with.” To this end, supporting the nonprofit sector is, in a very real way, more than just about the mission. She sees that supporting the sector also provides an opportunity for donors like Phyllis to engage in meaningful leadership opportunities.

Impact investing. When asked what she wanted to learn in the next five or 10 years, Phyllis’s eyes lit up. She talked about the field of impact investing which she described as a shift in dynamic from philanthropists being givers to being what she called “co-investors” or “partners” with nonprofit organizations. Phyllis immediately recognized that, in some cases, what people are labeling as impact investing is really nothing new but, in other cases, it is really, as she said, “social purpose investing” and represents a movement away from traditional charity.

Phyllis thinks of impact investing as a way to, in her words, create “a network for a community.” This is a space where people of all sectors can come together to create and work toward a shared vision. She has been piloting the impact-investing strategy through

a local nonprofit that convenes other grantmakers and philanthropists. First, she started with what she described as a “community of interest,” i.e., people interested in a certain topic (in this case, supporting military personnel transition to the civilian sector). Then, as the group begins to determine a direction for their work and to create their theory of change, the community of interest moves to becoming what Phyllis called a “community of intent.” Finally, as the group grows and people start taking collective and individual action, it becomes what she described as a “community of practice.” This systematic progression may seem slow and quite elongated to some, but, for Phyllis, it is important. She cautioned that the process “has to start with knowledge and [develop a] kind of glue, first, then it moves on to agreement on purpose, and then to actually turn into practice.”

Phyllis stated that while “it’s not going to be everybody’s cup of tea,” in general people, especially young people, “want to identify with something.” She believes these types of impact investing communities can provide a valuable opportunity for people to belong and for creating real change—the kind of change that is so broad that it requires cross-sector collaboration. And cross-sector collaboration requires that more people will have to become involved. Phyllis said, “I don't think we're involving enough entrepreneurs in the philanthropic community or young people who are already kind of wired to think about other people. We're not maximizing our ability to reach and mobilize.” She wants to change that and believes impact investing can be a vehicle for such change.

Phyllis is currently a part of a small group of about 10 philanthropists and nonprofit leaders that come together regularly to study impact investing. As a group, they are reading various material and bringing in speakers from other areas to help them

understand what is working and what difficulties are arising in other parts of the country. As they learn more, they hope to apply their knowledge in a demonstration project sometime during the next five years.

Pursuing impact. From time to time, Phyllis likes to attend a conference on a topic for which she has an interest but no expertise. For example, she has attended conferences on social capital and on school reform. These conferences allow her to learn directly from experts about topics she would, otherwise, not be able to access in-depth knowledge.

Recently, Phyllis attended a conference on the new field of nonprofit program evaluation. This conference discussed traditional evaluation methods but also discussed newer methods such as big data and developmental evaluation. Experts debated the pros and cons of the newer methods, and encouraged practitioners to try the techniques and to also be aware of the techniques' downsides. These methods, experts cautioned, were messy and none of them was the Holy Grail, so-to-speak. Phyllis recalled that there were many practitioners in the room who hung their head in discouragement and, Phyllis imagined, thought to themselves, "I've been doing it this way forever. What are you telling me?"

As Phyllis reflected on this experience, she came to realize that, as she said, "We have to find new ways of talking about impact and evaluating impact" and also acknowledged that "none of [these methodologies] is going to be the answer." She said that nonprofits and philanthropists are, "spending a lot of time trying to measure too rigidly." And the rigidity with which people approached outcomes seemed, as Phyllis stated, "like a lot of expense and paperwork when people are actually trying to deliver

services.” Phyllis said the focus should be on crafting your intent, articulating what change you wish to see, and deciding how much proof is necessary, rather than on developing the most elegant way to keep track of everything. She said, “People seem to be wanting the ... perfect codified answer. I don’t think there ever will be on outcomes.”

Conclusion. Phyllis’s description of the pursuit of impact despite the inevitably messy process of evaluating outcomes is perhaps one of the best ways to end this story. Phyllis is a big thinker and a long-term planner. She aims to work with nonprofit organizations to achieve big goals and knows that the process will be messy and uncomfortable. Whether she is carrying dissolution papers in her briefcase, as she did in her earlier work in the first sector, or holding a board member’s hand through a rough transition, Phyllis knows that the process is never as easy as the business plan might suggest. To that end, Phyllis’s philanthropic activities are bolstered by the observation skills she developed as a young girl in the house of her parent’s employer, the business acumen gained in school and in her career, and the interpersonal skills developed during a lifetime of exercising leadership. And, perhaps most importantly, her philanthropy is informed by the sense of fun and adventure she has found in helping organizations prepare themselves to create meaningful change.

Part II: Theory-Based Analysis

For the most part, Phyllis exhibits a Strategist action logic, though there is also some indication of an emerging Alchemist action logic influencing her thoughts and actions. The characteristics of both action logics were summarized in Table 7 and are reproduced here as Table 16. The bulk of the discussion that follows will be organized around the characteristics of Strategists listed on the tables. Evidence of an emerging

Alchemist orientation will be presented at the end of this discussion of the results of the theory-based analysis of the data from the Phyllis case.

Table 16

Core characteristics of the Strategist and Alchemist action logics

Action Logic	Core Characteristics
Strategists	<ul style="list-style-type: none"> • Oriented to long-term goals and outcomes, and sees goals and outcomes as inseparable from the learning process of everyone involved • Is so familiar with the process of redefining his/her own perspective that s/he becomes interested in helping others do the same • Enjoys playing a variety of roles • Locates their work within a broader context • Open to feedback about every aspect of him/herself
Alchemists	<ul style="list-style-type: none"> • Embraces common humanity • Is more concerned with the experience of self than the ideas held about the self • Regularly challenges paradigms of thought and is comfortable operating in the space between paradigms • May or may not be pursuing outcomes but, if so, is doing it without attachment or fervor • Approaches seemingly tragic situations with a relaxed compassion that may be perceived as uncaring or aloof • Oriented to the present moment and, consequently, pays attention to where his/her attention is drawn • Open to feedback about every aspect of his/herself

Source: Adapted from Torbert, 2004; Rooke & Torbert, 2005

The Strategist is oriented to long-term goals and outcomes and see goals and outcomes as inseparable from the learning process of everyone involved. Phyllis is interested in outcomes (like an Achiever or Individualist) but pays equal if not greater attention to the organizational capacity-building process necessary to achieve outcomes. Her focus, in short, is not simply on the relatively immediate impact of particular nonprofit programs and initiatives. Consistent with the Strategist's interest in the long

term outcomes, she keeps her eyes on developing organizational capacity, as well. For example, she was proud of the matching gift she gave to the community college not only because the college's fundraising campaign was financially successful but, more importantly, because the matching gift allowed the development department to reach out to other departments on campus and, consequently, build the fundraising capacity of the college for the long term.

The way Phyllis works with organizations she funds also evidences a Strategist's long-term orientation. In our interviews, Phyllis did not focus on the mission or the specific outcomes of the organizations she funds but, instead, discussed her preference for working with nonprofit organizations in which the staff and board members are open to change. She indicated, for instance, that she looks for organizations with what she described as "pain points," or places where organizational growth is possible. She also indicated that she is careful to help people through growth processes without being "a heavy-handed donor." Her rationale for not wanting to be seen as a heavy handed donor also is consistent with the strategist perspective, especially the strategist's concern with getting everyone involved: Phyllis knows that, at the end of the day, the growth process must belong to the staff and board, not to her; she believes that all parties need to be actively engaged in the change process, or it will fail long-term.

The Strategist is so familiar with the process of redefining his or her own perspective that he or she becomes interested in helping others do the same. Phyllis learned the value of seeing things from different perspectives early in her life. The outcome of the diversity training incident described in the narrative analysis section of this case, the incident in which Phyllis was singled out for criticism in front of other

participants, involved Phyllis remembering what her father had told her when she was still a child: “Try to understand where people are coming from.” As she listened and thought about what had happened during the diversity training session, her perspective changed, and this changed perspective led her not take criticism personally and to see things from perspectives that were different than her initial perceptions of people and events.

Over the years, Phyllis has tried to provide others with similar opportunities to shift perspectives and grow, as a result. She is, in fact, deeply attentive to the learning process of individuals, specifically staff and board members, and offered a number of specific strategies she employed to facilitate the learning process of those who staff and serve on boards of nonprofit organizations. In particular, she indicated that a major ingredient for learning to occur is “to really understand the diverse points of views” held by diverse stakeholders. This concern with helping people understand the perspectives of others is consistent with the Strategists’ concern not only with “redefining their own perspectives” but also with “helping others do the same.”

The Strategist enjoys playing a variety of roles. Phyllis exhibits another characteristic of the Strategist, as well, i.e. enjoyment of playing a variety of roles. One indicator of this is the fact that she works in both the nonprofit and for-profit sectors. She said, “I hop around in a lot of different sectors, I think I'm able to cross boundaries more easily than the typical funder.”

Furthermore, Phyllis not only moves back and forth across sector boundaries; she also plays different roles within the philanthropy sector. As the narrative analysis described, she plays the role of the strategic thinker at the organizational level, fosters

cross-sectoral collaboration at a regional level, and, on both levels, she supports the development of staff and volunteers as they work toward a common goal. Additionally, she plays the role of funder, board member, convener, and promoter of research. It is clear that engaging in these multiple roles is both intellectually stimulating and personally rewarding for Phyllis.

The Strategist locates his/her work within a broader context. Phyllis also exhibits the Strategists' penchant for viewing the work they do within a broader context. Her local-level work on impact investing, for example, was triggered by the national interest in impact investing. Additionally, the general manner in which Phyllis approaches all of her philanthropy is consistent with this idea of working within a broader context. For example, Phyllis' work to improve cross-sectoral collaboration included organizing trust-building activities for people of all sectors. Other action logics—such as the Achiever or Individualist—might approach the goal of building cross-sectoral collaboration. Likely, these other action logics would focus on creating or funding a successful cross-sectoral collaboration. Phyllis' view was broader: she sought to create an environment in which cross-sectoral collaboration could develop. Her willingness to focus on the broader field of play rather than on a specific initiative is consistent with a Strategist action logic.

The Strategist is open to feedback about every aspect of his- or herself. Finally, strategists are open to feedback about every aspect of themselves and their ideas, and Phyllis exhibits this Strategist characteristic, as well. Very early on—particularly through the diversity training discussed previously—she learned the importance of understanding other people's perspectives. She also learned to attend to critiques of her

thinking and actions without taking it personally. As a result, she learned to use feedback to revise both her perspective of, and her approach to the task at hand.

Furthermore, Phyllis does not wait for others to provide feedback. Instead, she actively seeks out new perspectives that are likely to challenge her thinking and lead her to adopt different courses of action. Phyllis regularly attends conferences on topics about which she has an interest but little knowledge. These topics included the concept of social capital, the process of school reform, and new approaches to evaluation in the nonprofit sector. This proactive approach to receiving feedback that challenges her standard operating ways of thinking and action can be interpreted as Strategist-oriented behavior, because it indicates a desire to incorporate into her repertoire information from radically different fields that has not influenced her up to that point.

Phyllis as an emerging Alchemist. Phyllis's comments about attending the conference on nonprofit evaluation are especially revealing and suggest the possible emergence of an Alchemist action logic in Phyllis' thinking. At this conference, experts presented information about nonprofit evaluation methodologies. There were presentations on traditional methodologies which are commonly used by nonprofit organizations and on newer methodologies such as big data and developmental evaluation. Phyllis observed some of the participants feeling discouraged when listening to the newer methodologies. She saw them hanging their heads and imagined them saying to themselves, "I've been doing it this way forever. What are you telling me?!"

As she reflected on the reaction of the participants and on the information she learned, she came to realize something about the nature of nonprofit evaluations: no matter what tool you use, evaluations of social change outcomes will always be imperfect

and messy. She said, “People seem to be wanting the ... perfect codified answer. I don’t think there ever will be on outcomes.” She came to believe, through this conference, that nonprofits and philanthropists are, “spending a lot of time trying to measure too rigidly.” Instead, Phyllis said the focus should be on crafting your intent, articulating what change you wish to see, and deciding how much proof is necessary. The focus, as she described it, needs to change. Instead of focusing on creating or documenting an external outcome, she came to believe that philanthropists’ attention should be placed on the quality of intent and follow-through.

As I have already suggested, I believe Phyllis’ interpretation of the information she received at the conference could be viewed as the beginning of a shift from a Strategist to Alchemist action logic. In contrast to Strategists, who are comfortable with establishing and pursuing outcomes and with helping others make the learning and discovery shifts necessary to work toward those outcomes, Alchemists are inclined to question widely embraced outcomes and goals. In fact, they regularly challenge paradigms of thought and are comfortable operating in the space between paradigms.

Challenging traditional (and even innovative) thinking about evaluation in the nonprofit sector is what Phyllis certainly exhibited when she described her reaction to the evaluation conference. She seemed to rather easily jettison long-held assumptions about systematically assessing outcomes and appeared to be comfortable with the notion that the outcomes will always be only be imperfect, rather messy direction markers. She appeared to be shifting her attention away from the pursuit of external, future-oriented outcomes and toward such things as intent and follow through, both of which are experienced in the present moment. This sort of approach, of course, is characteristic of

an Alchemist-orientation to change which includes pursuing outcomes with less conviction and fervor than other action logics promote and focusing attention on the now moment.

Conclusion. There is sufficient data to conclude that Phyllis is operating as a Strategist. First, she pursues long-term goals and, at the same time, believes the learning process of people with whom she works is inseparable from achieving those goals. Phyllis is also sufficiently comfortable examining and redefining her own perspective that she has learned to facilitate this process in others. She also enjoys playing a variety of roles, locates her work in a broader context, and is open to and seeks feedback. In addition to her Strategist action logic, Phyllis is beginning to exhibit qualities of the Alchemist action logic. Specifically, her attention seems to be becoming more attune to the present moment in ways consistent with the Alchemist.

CHAPTER 8:

ANALYSIS OF CASES #10 AND #11

Case #10: Kris: Learning, Exploring, and Experiencing

Part I: Narrative Analysis

Kris' leadership skills were inspired by both her mother and her maternal grandmother, both of whom modeled strong leadership at home. In fact, the family motto was, "You can only complain for so long before you have got to take action." This motto proved invaluable during Kris' career in university student affairs and is a lesson she still uses in her work as a philanthropist. As Kris said, "If you're going to complain about an organization, you better be willing to take it over and do something about it. I think it's a mid-western thing."

True to their mid-west background, Kris' family was emotionally generous and characterized by large, everybody-is-invited Thanksgiving dinners. The sense of inclusivity flourished even after Kris' parents divorced (amicably), and each remarried a new partner who also had children. As the one family became two blended families, all four parents vowed to never use the word 'step' when referring to any the children because, as Kris recalled them deciding, "your kids are your kids."

One early example of both leadership and inclusivity occurred when Kris, then in high school, met Marisa, a foreign exchange student from Columbia. She befriended Marisa, who had been crying because she did not understand American ways and was having a difficult experience with her host family. Kris went home that day and said, "Mom, she should come and live with us. Can we help her?"

That moment was a turning point in Kris' mom's life, and one of the first glimpses of who Kris would be as a future philanthropist. Kris' mom was overwhelmed with pride that her daughter wanted to help and, to be more precise, that her daughter expected the family to help, despite their financially modest situation. She said to her husband, "How can we not do it?" The family held a meeting and, together, decided to invite Marisa to live with them. Marisa stayed with Kris' family for a year and was the first of many students who found a home in the blended, mid-Western household.

Finding her niche. Now 50, Kris' identity as a leader and a future philanthropist really began to solidify in college when, during her freshman year, she was hired as a supervisor at the campus recreation center (rec center). The job provided her with an opportunity to learn, and exercise significant responsibility, including running tournaments, leading emergency operations, and serving as a member of the university's risk management team. She did well in school, doubled majoring in international business and commercial recreation, but neither subject matter interested her nearly as much as the real-world experience she was having working in student affairs.

In addition to working in the rec center, Kris became a very visible leader both on campus and at the national level. On campus she worked to pass student referendums to build new facilities and fund programs. At the national level, encouraged by her boss, Kris joined a national association for student affairs professionals and immediately found what she described as "her tribe." Here was a group of people that were creating leadership opportunities. They were excited about participating in campus life, were committed to personal and professional growth, and wanted everyone to be successful. Kris said, "I met all these people who loved going to work every day, absolutely loved

going to work.” She saw no cut-throat competition among members, only a desire to help each other’s programs and for every person in the group to become his or her best self.

Kris’ early leadership skills were recognized and sought-after by other schools and, immediately following her undergraduate program, she was offered a graduate assistantship at another university. This assistantship, which she accepted, would provide employment experience and pay for a master’s degree in sports management. A bit later, Kris was once again recruited by a university and ended up leaving her M.A. program about halfway through writing her thesis to accept a full time job as sport club director and, eventually, become associate director / director of operations at one of the more prestigious universities within a statewide higher education system. Once again she was part of passing a successful referendum, and the university ended up building a new \$35 million sports facility that Kris would be responsible for staffing and running.

Only in her mid-20’s, Kris found herself stepping into a monumental leadership role. She was responsible for hiring and supervising more than 100 new people, mostly university students. But, she was not scared. As she said, “The ball kept rolling. Doors open. You walk through them and amazing things happen.” She knew she was not alone; she could always count on her colleagues at other universities for good ideas and support. She recounted, “I don’t want to say it was easy, but it’s such a collaborative association and profession that any time I didn’t know what to do, I just picked up the phone.”

When reflecting on her success in opening the now renowned facility, she credits the professional association she joined while still a student and her previous experiences in university and student leadership. Kris explained that “people in student affairs who have large student staffs are exceptionally good at building teams and fostering

leadership. You have literally hundreds of super hungry people wanting to grow, wanting opportunity, enthusiastic about everything, and you get really good at student personal and professional development [focused on building leadership] or you leave.” She added, “I was the product of a really good system at [my undergraduate university] with really great student development opportunities.” These leadership development opportunities, coupled with the foundational lessons from her family, shaped the person Kris became both professionally and philanthropically.

A broader professional impact. Kris excelled in her job as associate director / director of operations, and was professionally active on campus. Eventually, she was elected to campus leadership positions and, ultimately, invited to join a statewide council responsible for improving the experiences of the more than 100,000 employees of the statewide higher education system that that included her institution. She stayed on that council for six years and, eventually, became president before stepping down in 1998.

On the council, she found a comradery similar to what she had experienced throughout her career: The team was invested in a common cause and worked together to make things better for everyone. For Kris, this comradery was the normal experience of doing business; she had always worked in an atmosphere that fostered an inclusive, can-do team spirit. However, she quickly realized that, for many of her colleagues on the council, this was the first time they had experienced such comradery. Many of her fellow council members were older, and it saddened Kris to know what they had missed. She stated that “you can’t really tell someone what’s missing. You can just help them enjoy what is, make it even better, and encourage them to spread it.”

Becoming a philanthropist. Having participated on the council and having had an impact at the statewide level through an organization with the budget the size of more than 25 U.S. states, it was difficult for Kris to transition back into her now seemingly small role on her campus. She was not sure of what to do next and consulted the career services department at her university. She took a career-directions quiz that told her she would be a great philanthropist. She promptly went home and, only half-jokingly, told her husband, “You’ve got to build that company a little faster so we can sell it so I can do this; looks like I’m supposed to become a philanthropist.”

Kris described her husband, Tom, as a born-entrepreneur. He built a successful internet company which he eventually sold at the height of the technology bubble. The timing could not have been better. She described the experiences as similar to “finding the perfect wave. You still got to paddle out every day, know how to surf, and be ready to jump in. You ride it, survive it, and all that. We rode a pretty great wave.”

And, within six months of the sale, six of the couple’s friends and colleagues passed away. These premature and mostly unexpected deaths reminded Kris and Tom that their time on this earth was precious. They decided the next phase of their lives would need to focus on friends and family. The money meant that neither they nor their parents ever had to work again. The couple went from working 80 hours a week to being permanently retired. She recalled:

We’d been upside down with our careers for the last 10 years. We hadn’t spent any time with family. We loved what we’ve done, but we basically both resigned and declared it the year of the family and got our parents retired. We don’t have kids. We spent time with our parents and really dedicated our lives to other things.

The couple started—and still continues—to spend more time with family and friends than was possible during their careers. They also began a second career of sorts, this time as philanthropists. Kris joked that she retired from what she described as an “80-hour a week job” and almost immediately joined several nonprofit boards, became active with board committee work, and helped found two philanthropic organizations: a chapter of Social Venture Partners and a membership-based grantmaking organization for women.

Kris found that the skills she developed during years of university leadership were easily transferable to philanthropic leadership, particularly to starting organizations. She said:

One of the things I love about getting older is you know what you’re good at and, while you’re still growing, you hope...[you will be] able to build on those strengths and find out how they can apply in so many different situations ... Gearing up a [sports] facility isn’t that different than gearing up a non-profit or gearing up a new committee or a new something else.

Kris excels at building organizations and in establishing the type of culture and infrastructure that develops leadership talent throughout the ranks. That is, in fact, the essence of student affairs management. But Kris readily acknowledged she is not so great at what comes next. “I’m good at building systems and putting really solid building blocks in place,” she said, but “I’m not very interested in the tinkering afterwards to fine-tune stuff.” To account for this and other weaknesses, Kris tries to develop and work on teams with people who have a variety of skill sets and perspectives. Her motto here might be characterized as: together we can do more than we could each do alone.

As Kris was part of founding philanthropic and nonprofit organizations, the challenge for her was not in setting up or managing them. Instead, the real challenge was learning to manage her emotions when her colleagues could not see the larger vision of what the organizations could achieve. She often found herself 18 steps ahead of everyone and waiting for them to catch up. Frustrated, Kris learned she had to change her leadership style. As she recounted, “I had to get better at laying out the bread crumbs, holding up the mirror, and saying, ‘Yes you/we can.’ The encouragement piece.” The lessons for her to master in these situations were—and continue to be—tact, diplomacy and patience.

Being able to see a broader vision is part of what Kris refers to as her *collecting mindset*. She likens a collecting mindset to driving a car. When first learning to drive, you look at what is immediately in front of the car. As you progress, you begin are able to take in what is immediately around you and also see what is happening a block down the road. Eventually you are able to view farther down the road and, at the same time, take in as upcoming crossroads, traffic, and environmental factors such as rain or sun. Kris believes that being aware of more of the environment makes it easier to “drive,” or, to state things literally rather than metaphorically, to start a nonprofit or build a building. Kris described herself as having a wide field of vision in regard to philanthropy and, more specifically a wider vision than most other philanthropists.

Leading philanthropists. At their core, both of the philanthropic organizations Kris was part of founding are leadership development organizations for philanthropists. Through each of these organizations, philanthropists learn how to identify and systematically vet and invest in nonprofit organizations and, eventually, teach newer

members to do the same. And, as with Kris' undergraduate employees during her early years in student affairs, Kris concluded the best way to learn is to do. In the beginning, Kris welcomed the opportunity to first learn herself and, then, eventually, to mentor new philanthropists. Overtime, she realized that she needed to step away and let the next generation take over. The philanthropists she had once mentored are now the ones mentoring the organizations' newest members. It is a beautiful but also a somewhat tedious process for an experienced philanthropist. Kris said:

What I realized over time is that when you're teaching philanthropy, a huge part of learning philanthropy is rebuilding it yourself in a small way. For people who have done it many times, in a frustratingly big way, it's rough because everyone needs to reinvent the wheel or at least they need to make modifications to the wheel.

Over time, Kris decided that she no longer needed to be the leader or the person in charge. She began to volunteer for the role of meeting facilitator or note-taker, both positions that allowed her to stay deeply engaged during meetings without slipping into a more prominent leadership role. As she recalibrates her leadership contributions within the philanthropic organizations she helped found and lead in the past, other members are free to step up and exercise their own leadership. She credited her willingness to recalibrate, in part, to becoming increasingly comfortable in her own skin as a woman of means and as a philanthropist.

An appreciative approach to philanthropy. As a part of her work on a local community foundation board of directors, Kris participated in a week-long Appreciative Inquiry (AI) training workshop. AI is an approach to assessment and change that focuses

almost exclusively on strengths rather than documenting and rectifying deficits. This training provided an asset-oriented approach to change that mirrored Kris' life-long personal philosophy and helped her better understand the catalytic role she plays in professional settings. At the end of the training, Kris said her group “gave...[her] a giant matchstick that was a lighter because they saw...[her]job as igniting conversation, enthusiasm.” She added, “I was a positive catalyst and one of the things I've learned is that catalysts aren't always comfortable.”

Kris uses the tools from this training in her work as a philanthropist. She believes many nonprofit organizations approach problems from the wrong perspective, fretting about terrible situations (e.g., poverty, social injustice, etc.) and scarce resources. She believes that such negative mindsets can be exhausting, especially for organizations with a small staff. Instead, there are many things that often *are* working. She suggests nonprofit leaders ask questions such as, “Why do the staff work here? They obviously love it, why? What's working in this situation?” or focus on clients' persistence and tenacity rather than the challenges they must overcome. She believes that persistence and tenacity are the qualities that, if strengthened, could help clients—and organizations—overcome the many hurdles they inevitably will have to confront.

Kris recognizes that most of the population does not look at the world through an appreciative-oriented frame and that transformation is painful for most of the population. This failure to take a positive approach, she believes, influences philanthropy. Kris has observed that many people come to philanthropy through pain. As she said, “I think your causes tend to find you—whether someone you know has breast cancer or your child is born with an incredibly challenging condition or someone close to you dies in a drunk

driving accident.” Kris feels lucky that she and her husband have not experienced many of those tragedies, but she recognizes that many of her peers have. She knows that a personal understanding of a nonprofit’s mission changes the philanthropic experience dramatically; it is something for which Kris has tremendous sensitivity when working with her fellow philanthropists.

Working on multiple levels. Inspired by the writings of John Maxwell, Kris currently conceptualizes her philanthropy as operating on three different levels. First, she puts herself in places where her unique background can help others. Second, she works on committees with people on par with her own intellectual and creative enthusiasm. Third, she participates in and contributes to a community of people that challenge her to grow.

Helping others. Kris and her husband have made a lifelong commitment to help undergraduate students. Each year they provide scholarships to five or six students in the higher education system where she once worked. They are not interested in recognizing the student with the highest grades; instead, their scholarship specifically funds students who have made a significant impact in the department in which they work. She remembers not being able to pay the students what she knew they were worth, and she remembers watching them struggle to make ends meet. The scholarships she funds are an attempt to close the gap at least somewhat and to minimize, if not eliminate, the struggle.

For Kris, these scholarships are deeply personal gifts. One of the most important reasons to fund scholarships, Kris said, is helping students to know “someone picked you and believes in you and that you can do this.” This knowledge, in turn, helps the student

to believe in themselves. Kris and her husband have kept in touch with many of the students they have supported over the years and even helped them celebrate milestones such as graduations, engagements, and weddings. This long-term connection is important to Kris and is one of the joys of her work as a philanthropist. As she said,

I always feel sorry for people who give their money away after they're dead because [they] didn't have any fun with it. It really is neat to see the change and the difference that you can make in people's lives. The bright shining faces and enthusiasm.

In fact, when Kris thinks of the students she has met and funded over the years, she realizes that, though many people dread it, there is no need to worry about the future. She has found these students to be, as she described, “freaky smart” and, just as she was at that age, eager for opportunities to learn. She said:

It's a time in a person's life when they are so open to possibility. They're breathing, eating, inhaling it at every opportunity, they're just so open to learning and voracious about it. And, ‘Tell me more.’ You have such an opportunity to leverage small things into really good opportunities for them.

In addition to the scholarships Kris and her husband fund, Kris is an advisor for a student-run scholarship foundation and a co-chair for a 5K event that raises money for scholarships.

Growing together. At the same time as Kris is helping undergraduates to grow, she is also working on multiple committees addressing concerns such as regional disaster preparedness, technological innovation, and the future of recreational sports, health and wellness in higher education. These committees are working groups of her peers, people

Kris deeply respects and admires. She believes the feelings are mutual. In these committees, Kris appreciates the opportunity to share her experience in operations and, in the case of the disaster preparedness committee, share what she described as her “random expertise” in emergency management acquired during years of working as a university risk management coordinator.

An example of how she works with peers involves Kris’ recent election to the board of the student affairs association in which she has continued to be a member despite the fact that she no longer works in the student affairs field. She has retained her membership in the organization and is now a board member in large part to help strategize around the broader environmental and social issues affecting the profession. The board is currently tackling issues such as the lifelong benefits of play and recreation and the role of recreation, health and wellness centers on campuses. The group is also leading the dialogue for inclusivity in sports and is one of the first national groups to expand the conversation to include transgender players. Kris enjoys this work because, as she said,

They don't get mired in the muck. One of the benefits is, most of us have known each other for 15-20 years. So by the time you get to that leadership level there's a huge amount of trust. We all know what each other is capable of and there's an enormous amount of respect there. It allows you to do some very, very risky and high-level thinking.

Stretching herself. In addition to helping others and growing with her peers, Kris and her husband have joined a community of innovative entrepreneurs who are committed to changing the world for the better. This community, called the Catalytic Community, was started by an entrepreneur who needed advice for his own business and,

in talking with other successful entrepreneurs, saw a reason/need to bring young/emerging entrepreneurs together. Over the years, this community has grown to more than 600 people and, today, meets several times a year to support and challenge one another.

Kris and her husband recently joined with a subgroup of this community to purchase a mountain with a ski lodge. Together, they are developing the land to create a physical space for this once mostly virtual Catalytic Community to meet. Kris and her husband are real estate investors and project advisors, and she sits on the architecture review committee for the community.

For Kris, the Catalytic Community is two things. First, it is a community through which her horizons are expanded. It is filled with well-known entrepreneurs of both for-profit and nonprofit organizations from whom she can learn. In fact, her eyes fill with awe and amazement as she describes her experiences interacting with the entrepreneurs. Second, the Catalytic Community, represents an untraditional form of philanthropy. Rather than just writing a check to a nonprofit organization, Kris supports a community that provides intellectual, emotional, and psychological support for some of the world's greatest innovators. This support is provided on a somewhat formal basis through community events and, more informally, through networking. As she and her husband build their house on the Catalytic Community's mountain, philanthropy is no longer something she does; it is where she lives.

Expectations and new journeys. As Kris makes her way in this world, she realizes that much of what she sees externally is shaped by how she feels internally. In fact, she would argue that her expectations drive her experience. When thinking about

others, she told me, “Expect them to be awesome. So many people expect so little, and people always live up to your expectations. I found that to be true of everybody in almost every situation.”

Kris likes to dream big. Inspired by a book she read, she and her husband are currently making plans for a year during which they will alternate between living 30 days at home and 30 days in a new city somewhere around the world. She believes that thirty days would give the couple enough time to become accustomed to the local culture, and, for example, find a grocery store and a favorite restaurant. They are considering cities like Prague, Chicago, and Singapore. While imagining this experience, she marveled, “What a neat way to experience different cultures and different situations.” She likened it to reading your favorite book. Each time you read the book, it is different because you are different. She said, “When you come back home from ... long trips, you're always a little different than the person who left. You fit into your space a little bit differently.” She looks forward to exploring within herself both the new cities and the new (old) home.

Part II: Theory-Based Analysis

Kris exhibits the characteristics of an Alchemist action logic. The characteristics of all action logics were summarized in Table 7 and the characteristics of the Alchemist are reproduced here as Table 17. The bulk of the discussion that follows will be organized around the characteristics of Alchemists listed on the table.

Table 17

Core characteristics of the Alchemist action logic

Action Logic	Core Characteristics
Alchemist	<ul style="list-style-type: none"> • Embraces common humanity • Is more concerned with the experience of self than the ideas held about the self

Action Logic	Core Characteristics
	<ul style="list-style-type: none"> • Regularly challenges paradigms of thought and is comfortable operating in the space between paradigms • May or may not be pursuing outcomes but, if so, is doing it without attachment or fervor • Holds seemingly tragic situations with a relaxed compassion that may be perceived as uncaring or aloof • Oriented to the present moment and, consequently, pays attention to where his/her attention is drawn • Open to feedback about every aspect of his/herself

Source: Adapted from Torbert, 2004; Rooke & Torbert, 2005

The Alchemist embraces common humanity. The Alchemist is open to seeing places where she is no different from others and uses this recognition to develop meaningful connections. Kris exhibited this characteristic when talking about the students whose scholarships she has funded and the entrepreneurs whose lives she has touched. In these descriptions, Kris' connection to individuals seems deeply personal but unbounded by prescribed roles such as that of the funder and the funded. For example, her face lit up when she talked about the undergraduates whose education she has funded. She invites all of them to keep in touch with her and her husband and, for those students who do keep in touch, she has developed personal friendships, even celebrating their milestones such as engagements and weddings.

This sort of personal connection is important to Kris and is one of the reasons she funds scholarships, a deeply personal gift. Kris believes students benefit from the knowledge that, as she said, "someone picked you and believes in you and that you can do this." Additionally, she indicated that she has benefited from meeting the students. She said that when she meets the students she is not afraid for what may come of the world: she believes that if these students are the future, the world is in good hands. The openness

with which Kris embraces the students and her willingness to be affected by their spirit is consistent with the Alchemist action logic.

The content of Kris' actions—her openness to develop relationship with the students she helps—could also be interpreted as representing other action logics; however, the goals behind these relationships would be different for people at different action logics. A Diplomat's goal in developing these relationships might be to see how he had helped the students. An Achiever who developed these relationships might be interested in seeing the students' progress and observing how these students fit into his overarching philanthropic goals. An Individualist might be interested in learning about himself or his or reflecting upon his goals as he interacted with the students. And a Strategist might be interested in learning from the students' personal experiences and using that learning to reflect upon his philanthropic decisions. The Alchemist, however, is open to all of this but most interested in exploring a genuine human connection. This connection is forged without attachment or zeal but, rather, with an openness to explore and enjoy. Kris' behavior is most closely aligned with the Alchemist.

The Alchemist is more concerned with the experience of self than the ideas held about the self. For the Alchemist, the self is not a static entity but a process which experienced within a broader context. Kris exhibited this characteristic of the Alchemist at several different places in the interview, including her overall approach to this research project. As we sat down to start the second interview, Kris looked at me with a sense of excitement and said, "So what's today?" Her demeanor seemed almost child-like in that it held a sense of wonder, potential, and trust. She seemed to be open and looking forward to experiencing whatever would unfold.

The adventure Kris is currently planning with her husband is also illustrative of this characteristic. For 12 months Kris and her husband plan to live alternating between 30 days at their home in the United States and 30 days in another city. With what seemed like wonder in her eyes, she said, “what a neat way to experience different cultures and different situations.” And, in addition to being a “neat” way to explore other places, Kris sees this adventure as a new way to explore home. She said, “When you come back home from ... long trips, you're always a little different than the person who left. You fit into your space a little bit differently.” Kris’ interest seems to be in *experiencing* herself, a goal of the Alchemist, rather than in *developing* or *defining* herself, which would be more characteristic of an Individualist.

The Alchemist regularly challenges paradigms of thought and is comfortable operating in the space between paradigms. The Alchemist regularly questions preconceived ideas about what the world should look like and is comfortable operating in the space between paradigms. Kris demonstrated this on a number of occasions and, specifically, in her engagement with the Catalytic Community. Kris described her philanthropy overall as operating on three layers. First, she is engaged with people she can help, such as the undergraduates whose education she funds. Second, she is engaged with peers with whom she can problem solve, such as her regional committee on disaster preparedness. Finally, she is engaged with people from whom she can learn. The Catalytic Community falls into this third category. Through this community Kris meets entrepreneurs whose experience and wisdom she soaks up like a sponge. As she said, Catalytic Community is where, “I get to be the sponge. I get to be the one who is curious and asking all the questions. [And saying,] ‘Wow! I want to learn from you.’”

Kris' description of philanthropy in general and with the Catalytic Community in particular challenges conventional ideas about philanthropy. Specifically, it debunks the notion that she, as a wealthy individual, is supposed to help others who are less privileged. Instead, she describes philanthropy as simultaneously a place where she reaches down (so to speak), reaches across, and reaches up. By participating as real estate investors for and as members of the Catalytic Community, Kris supports and participates in a community of for-profit and nonprofit entrepreneurs. These entrepreneurs, she believes, have tremendous potential. In essence, philanthropy is not just where she gives her money; through the Catalytic Community, philanthropy is also with whom she interacts and, once the land is developed, where she will live. This willingness to expand the traditional notions of philanthropy is consistent with an Alchemist action logic.

The Alchemist may or may not be pursuing outcomes but, if so, is doing it without attachment or fervor. Kris stated that outcomes were important to her and that she wanted her projects to demonstrate clear progress toward a goal; however, she did not focus on specific outcomes in the way that a person of earlier action logics might. Instead, she talked about the overall contributions she was making and the sorts of visions toward which she and others were working. For example, she talked with excitement about engaging with others in “very, very risky and high-level thinking” about broad areas such as inclusivity in sports. Kris' consistent focus on the vision, even as she worked toward outcomes, is indicative of an Alchemist action logic. Similarly, she remained close to many of the recipients of the scholarships she and her husband funded, but she and her husband never specified what they expected the scholarship recipients to accomplish. Consistent with an Alchemist action logic, her experience of these

relationships was one of openness, exploration, and wonder. As much as she enjoyed each particular relationship, she seemed to experience these relationships as she might experience a butterfly that had landed temporarily on her hand—beholding its beauty in the moment without trying to direct or prolong the experience.

The Alchemist approaches seemingly tragic situations with a relaxed compassion that may be perceived as uncaring or aloof. Consistent with the characteristic of an Alchemist action logic, Kris prefers not to dwell on tragedies. In fact, on the day we met she had written in her journal the following quote by David Sarnoff: “Let us not paralyze our capacity for good by brooding over man’s capacity for evil.” Kris said that many nonprofit employees and philanthropists seem to look at the world and say, “Oh my God. This is such a horrible problem. What are we going to do? We don’t have the money.” Instead, she talked about how nonprofit leaders might use the tools of Appreciative Inquiry to explore what is working in their clients lives.

For example, she suggested nonprofits leverage the perseverance already being demonstrated by the clients. This suggestion did not seem to be a naive “focus on the positive” type attitude but an acknowledgement of a deeper paradox: pain is often a driving force in growth and opportunity is often hidden within tragedy; or, as Kris said, “Strengths can become weaknesses. Weaknesses can become strengths.” Kris’ possibility-oriented attitude toward seemingly tragic situations is another indicator of her tendency to employ an Alchemist action logic.

The Alchemist is oriented to the present moment and, consequently, pays attention to where his/her attention is drawn. Many (though, of course, not all) individuals at later stages of development describe what some theorists refer to as a

unitary consciousness—a conscious sense of oneness with all things (see, for example, Cook-Greuter, 1999; Koplowitz, 1990). Kris’ described an attunement to her thoughts and a respect for the relationship between her thoughts and her lived experience. Kris indicated that much of what she sees externally is a reflection of how she thinks and feels internally. In fact, she would argue that our expectations drive our experience. For example, when thinking about others, her advice was to, “Expect them to be awesome. So many people expect so little, and people always live up to your expectations. I found that to be true of everybody in almost every situation.”

On the surface, Kris’ statement may appear to be simplistic. However, Kris’ ongoing commitment to reevaluating her thoughts even as she was experiencing them and her lack of boundary between what is inside (her thoughts) and what is outside (others’ behavior) can be interpreted an expression of the way Alchemists pay attention to where their attention is drawn.

The Alchemist is open to feedback about every aspect of his/herself. In this regard, Kris’s behavior seems to be consistent with the Alchemist. In fact, she indicated she chose to participate in this study because it would offer a chance to receive meaningful feedback through the GLP. She lamented during the first few minutes of our first interview, “One of the challenges of becoming a community leader is, all of a sudden, people decide that they don’t want to give you critical feedback.”

In addition to seeking feedback from others, Kris also demonstrated a willingness to reflect on her own ideas. For example, at one point during our discussion, Kris stopped to wonder if she needed to change the way she was thinking about an especially frustrating project. Mid-sentence she noted, “Maybe I need to practice

it [reflection on my own ideas] myself with this [current project] because I have very interesting expectations about it.”

In general, Kris demonstrated an openness to reevaluate ideas about how things should be and an eagerness to learn new ways of thinking and acting. She did not engage in this reflection alone, as an Individualist might have, but, rather, her reflection occurred in in groups (e.g., the student association board and the Catalytic Community) with built-in opportunities for feedback. It was evident that, for Kris, learning through feedback is not just an espoused value but something she lived as a life-long process. She said:

I don't have a lot of patience for people with closed minds. If you know everything, I'm really sad for you because there is so much for all of us to learn still and ways that we can grow. Sometimes you hunker down and you plateau and you get solid, right? You need to firm things up a little bit for yourself. When it becomes a brick wall, you're in trouble.

Conclusion. During my interviews with Kris, I probed hard for disconfirming evidence, e.g., for evidence that suggested that Kris was not really an Alchemist but, rather, exhibited at least some of the characteristics of an Individualist or a Strategist. For example, I tried to discern what, specifically, was her purpose in pursuing relationships with the students or in her work with the student association board. Her purpose included self-reflection (indicative of an Individualist) and included helping others to grow as a way to achieve goals (indicative of a Strategist) but, primarily, was focused on experiencing the present moment—a purpose consistent with the Alchemist action logic.

In the end, Kris, in fact, demonstrates most of the characteristics associated with an Alchemist action logic. Specifically, she engages in relationships based on deep

humanity, regularly challenges the way things “should” be, pursues outcomes without attachment or fervor, holds seemingly tragic situations with a relaxed compassion, is oriented to the present moment, and eagerly seeks feedback.

Case #11: John: Looking Far, Looking Deep

Part I: Narrative Analysis

Ask John to meet with you, and he will likely want to buy you lunch. It is a perk of his job these days, but, in actuality, it has always been a part of who he is. Even as a young teenager, John found himself buying lunch—anonymously—for those who seemed hungry. His friends did not understand the inclination but, to John, it was just the right thing to do. “It’s just common sense,” he told me; “If you’re thirsty, and I have water, why would I let you be thirsty?”

John has made a few mistakes along the way. He once saw a man who looked down-and-out in a restaurant in Las Vegas, John’s home town. John paid the waitress for the man’s meal and thought nothing of it. When John and his friends got up to leave the restaurant, the waitress informed him that the down-and-out man was actually a senior manager at the MGM Grand. Of course, this “mistake” had a happy ending for John: Instead of John buying this man a meal, this man paid for John’s entire table and left two tickets to an expensive show.

But we are getting ahead of ourselves. Where to begin? Looking back at his life and its many adventures, how does John choose which ones were most influential in shaping the philanthropist he is today? For John, many of his life’s events are related. As John sees things, there is a thread that runs through the experiences he has had in his life, a thread that unites seemingly disparate adventures into one cohesive narrative.

The hula hoop. John talks about his life with both the courage and methodological rigor one might expect given his Ph.D. level background in marriage and

family therapy. Yet, at the same time, he approaches the conversation with a spirit of child-like wonder and curiosity.

He has watched his life of 63 years unfold in seemingly miraculous ways. Many people have had a hand in making him who he is today. From his preschool teacher to his guidance counselor/Judo teacher, from his spiritual teacher to the “delinquent” boys and girls he counseled at many nonprofit organizations early in his career, John sees how virtually everyone he has known has shaped his life. “It’s like little kids rolling a hula hoop down the street.” John said; “the kid takes the hand and just pushes it along ever so slightly. That is what they’ve done for me.”

Doing the right thing. Perhaps it is John’s Jewish heritage or the influence of his Advaita Vedanta spiritual teacher that has been the prime mover in John’s life; whatever has influenced him, John has always felt moved to do the right thing. Even as a child, he would share his toys with other children. One day, the Jewish youth group John led was given tickets to attend Jewish High Holidays at the temple. As John, then 14 years old, approached the building, he noticed that there was a long-haired gentleman who wanted to enter but did not have the funds to purchase a ticket. The President of the Temple was denying the man entrance. John thought, “This is really nuts. This guy is very serious about going to a temple service, a religious service. Why would you ever stand in his way?” John gave the gentleman his ticket and, then, without a ticket of his own, walked up to the door of the temple, daring the President to prevent him from entering.

There was a little “F*** you” defiance in that generous act, John admitted. He was, after all, a teenager, he reminded me.

John got into normal teenage mischief in school, but never violence...except once. There were very few black people in the area of Las Vegas where John grew up. In fact, he does not recall having ever seen a black person until his was in middle school. Despite the racial tensions around him, John recalled, "As kid, I didn't get that we were different." He was just excited to have more kids to play with. It seemed to John that, since all the kids liked sports, they could easily have a good time. His friends started calling him "nigger-lover." John did not understand at first, but, eventually, he came to see what was happening. He said, "As I started getting older I started to understand. For a variety of reasons, it is easier to direct your anger or pain or frustration on a group rather than deal with it inside [of yourself]." To this day, John still believes that if you are going to judge somebody, you should, in his words, "judge them individually," and not by something like their race or religion, something that does not really tell you who they are. Also, he does not judge those that judge. Instead he wonders, "What is causing you to judge? I'm not sure."

John's attitudes about race did not jive with what was happening in his school; and, as a Jew, he, too, felt the brunt of the pain others deflected on those who were different than themselves. One day John was jumped in the locker room by six students. His attackers were larger than him, but John instinctively knew what to do. He took the first attacker by the hair and hit his face into the locker. He did this again and again. The attacker was sent to the hospital and John, unsure of what exactly had happened, ended up in the office of the school psychologist. Witnesses corroborated that John was acting in self-defense, but the psychologist knew that there was an energy in John that needed to be channeled. The psychologist, Robert, happened to also teach Judo, and offered John

the option of taking classes with him. This offer, once accepted, opened a whole new dimension in John's life.

Robert would pick John up from school and take him to class. Those car rides provided John with a safe, sheltered time in which to talk with a trusted adult, and the Judo classes steered John's life into a whole new direction. Judo was a natural fit for John. To him, Judo just "made sense" as both a martial art and as a life philosophy. "There is a natural movement people have," he told me; "this energy is alive for me and it moves you toward the right thing. You have to fight against it to do the wrong thing." John earned his brown belt and began, as a teenager, winning adult state tournaments.

Introspection. The pieces of John's life have formed such a coherent story that it is nearly impossible to separate one piece from another. How much of his current philosophy was present in him as a middle schooler and how much has developed with age? On one hand, John insists that he was not special and, as a kid, was not as aware of his thoughts and actions as he is now. On the other hand, John clearly showed more signs of introspection as a young child than most people do in their early years.

The mother of one of John's childhood friends was probably one of the first physically-present spiritual teachers in John's young life. Mrs. Walters took John under her wing and started correcting him by asking questions such as, "You really want to do that?" Her questions subtly encouraged him to stop and ask himself, "Why would I do that?"

Mrs. Walters did not keep John from getting into mischief from time to time; he was, after all, a young boy. But, she did encourage him to reflect: "It's like, if I'm angry, why am I angry? Why am I thinking it's that person's fault that I feel something?" Mrs.

Walters's approach made sense to John, and he learned at an early age that people are responsible for their own behavior and for their reaction to others' behavior.

This thinking, John believes, ties clearly in to who he is as a philanthropist today. When he sees people homeless and on the street, he sees both people who have made certain choices that put them where they are, and, at the same time, he sees human beings who are hungry. "They're responsible for their actions," he told me. "I cannot totally ignore their participation in it; [But] can I not give them food?"

The fullness of the human experience. As a marriage and family therapist and, today, as a trustee for a friend's private foundation, John often finds himself confronted with many facets of the human experience, pleasant and unpleasant. He has learned that one of the most powerful gifts you can give another is the gift of understanding. When you really try to understand how people are feeling, really and truly go beneath the surface and understand, John said that "magic happens and they start to feel better and actually change their lives."

Trying to understand others made John realize that he is no better or worse than those who come to him for help. John looks at the drunks, addicts, prostitutes, and people on the street and says to himself, "There but for the grace of God go I." As he reflects on his life, he sees that it would not have taken much when he was younger to have had his life turn down a completely different path.

He takes this understanding into philanthropy. In fact, he was recently talking with other funders about an executive director (ED) who had, in John's words, "screwed up." The funders were angry and blamed the ED. John said, "I don't know if I could do any better. Look at the pressures this guy has." Understanding what the ED was going

through did not change the situation, John noted; it did, however, help the other philanthropists approach the ED with a sense of compassion.

Lessons learned. Because John has been philanthropically active since he was a child, he has learned a great deal about helping others along the way. One of the most important lessons he has learned involves developing a better understanding of who he is—and has been—in the fiscal domain. He emphasized that he never engaged in get-rich-quick schemes for himself, but he often gave money to friends that wanted to start businesses. Much of this money was put to good use. Some of it was squandered. John told me, “I gave money to people that, when I reflect back on it, I shouldn’t have because it was enabling them to avoid responsibility.” These days, he tries to give a hand up rather than a handout.

John has also been exposed to a wide range of human experiences that have shown him no one person is all good or all bad. For example, a lot of what he knows about women he learned from working in a home for delinquent girls in his twenties. At the time, he was the only male on staff, a fact which, he believes, “probably didn’t help any of [the clients] at all, but I learned a lot.” Before working in that home, he had put women on a pedestal. The problem with doing that, he realized, is that “you don’t really meet the woman as a person. You meet her as . . . an idealized figure.” If you do this with other groups, soon you have all of these ideas about people: “Black people are like this. Jewish people are like this. Women are like this.” Working at the home taught John humans can have both bad and good in them at the same time. Many of the girls in the home had been prostitutes since they were 12 years old. They could be incredibly manipulative and, at the same time, be absolute sweethearts: “You could see that at the

same time. This could be there, and that could be there. It's all part of the same human being."

Moving forward. Seven years ago John was named trustee to a private foundation and, each year, has the opportunity to give away millions of dollars, in addition to giving much more modest amounts of his own funds that was acquired through his work as a therapist. The lessons he has learned during his lifetime are woven into the fabric of each and every philanthropic decision John makes. Ask him about what impact he wants to have in his philanthropy, for example, and you hear the echoes of his experiences buying a meal for down-and-out men, counseling women escaping prostitution, and, as a reformed co-dependent, attempting to discern which of his friends' requests for cash would help more than enable. Just look at the following very diverse levels of impact John's philanthropy has had:

Organizational capacity and staff development. John has observed that many philanthropists like to fund nonprofit programs rather than nonprofit organizations. "That's nice," John said, "but they don't seem concerned, often times, with staff development or training." He has come to believe—mostly because of others' investments in his own professional development—that money spent on capacity building can have a longer, more permanent effect than money spent on programs. For example, one youth-serving organization John has funded regularly for six or seven years has transformed itself from a mom-and-pop organization with three to five staff members into an international phenomenon. John did not pour his money into outcomes-producing programs. Instead, he focused on building organizational capacity in terms of staff development, training, and infrastructure support, including paying for the ED to attend

educational programs at Gallup and Stanford University. “Certainly that \$10,000 [I gave] could have gone to programs,” he said. “But if we spend that money on [the ED], we’re going to get \$100,000 to \$200,000 worth of bang for that kind of money.”

In a similar vein, he is currently collaborating with other philanthropists and with a local nonprofit academic research center to help nonprofits build their capacity to evaluate core programs. In this partnership, the academic research center will help nonprofit organizations identify and/or solidify their theory of change, develop appropriate metrics to measure impact, and implement policies and procedures to systematically collect and analyze whether targeted metrics have been reached.

Over the years, in fact, John indicates he has seen nonprofits collect a great deal of useless data. The current evaluation project he and the other philanthropists are funding, John believes, will help nonprofits start measuring what really matters. At the same time, according to John, it will help the nonprofit academic center to create a model for evaluating nonprofit organizations’ impact that can be used in other organizations. “Basically, [it’s] the raising of the sector,” John said; “it’s just so much fun.”

Community-wide impact. John’s interest in building nonprofits’ evaluation capacity demonstrates that, in addition to caring about the strength of nonprofit organizations and their staffs, John is also concerned with what impact the nonprofits have on the community. He is not satisfied with typical measures such as how many youth attend a program or how many graduate from high school. He wants to know how engaged the youth are in learning, how the program affected the young people’s lives, and what the youth are now (or will be) doing for the community.

For example, John funds an organization that provides athletic opportunities to underserved youth. These opportunities help keep kids in school, away from gangs and high-risk behaviors, and, John hopes, on the road toward brighter futures, including college. John asked (seemingly rhetorically): “How far can your vision go? These kids graduate high school. Now what?” Inspired by other philanthropists, John believes that by helping these youth go to college, real change is possible. He has observed that many of these youth go to college and then return to their communities, inspiring others to do the same. Many of them are grateful to the nonprofit and contribute back to the community through the program. “Now, that money has not affected one kid, it’s affected all the kids they touch.”

The needs of the moment. In addition to thinking about the impact his dollars have on the nonprofit and on the broader community, John is also attuned to the needs of the present moment. This is manifested in his ever-present desire to offer water or food to persons in need. It is also evident in his work with a local domestic violence shelter. As John has learned, women leaving domestic violence situations do not normally pack a suitcase. They flee. Kind-hearted donors often bring clothes for the women to wear, but few donors think to include bras. Instead, the staff members of the organization John eventually helped fund were using their personal money—money from their own far-from-full pockets—to purchase bras for these women. When John realized this, he helped start the Bra Fund. This special fund allows staff to purchase bras and many of the other needed items people do not think about donating. In fact, today the Bra Fund helps women go to school, purchase dishes and furniture, and, generally, get the basics they needed in order to go about the business of rebuilding their lives. The Bra Fund attends to

the needs of the present moment, closing the gap between current reality and future possibilities.

Educating philanthropists. In addition to attending to the many layers of the nonprofit sector, John also provides assistance to other philanthropists, many of whom do not know the best ways to help the people they want to help. John said, “People want to serve from the heart but they really don’t know what they’re doing; they really need education.” People, John believes, usually experience the nonprofit sector through both their head and their heart. The heart wants to help; the head wants to be effective. However, people often privilege the heart over the head, or vice versa, leading to an imbalanced experience for both the donor and the nonprofit organization. John—whose martial arts training has taught him the importance of balance—believes it is possible to be attentive to both the head and the heart, and that, in doing so, the philanthropist has a more rewarding experience and has a larger, more robust impact on the nonprofit organization. He is currently working with other experienced philanthropists to develop training for less-seasoned philanthropists. This new project is still in its infancy, but John believes it has great promise.

Attending to multiple levels of activity. It may seem as if John’s philanthropic activity is all over the map. In one moment he is funding the purchase of bras for an immediate need and in the next moment he is trying to develop the nonprofit sector’s capacity for long-term, systematic evaluation. This diversity, however, is not an indicator of inconsistency or evidence that he is simply reacting unthinkingly to the different needs he encounters in his journey through life. Rather John’s diverse philanthropic initiatives are a reflection of his desire to attend to multiple levels of activity at once: the client, the

staff, the organization, and the broader community. He is deeply active in every level at which he operates, even though the different activities often occur simultaneously.

John credits his years in martial arts with helping him to know on what level he needs to be working at any given moment, or in other words, where he needs to place his attention. Many marital art practices teach physical forms such as kicks, punches, and jabs. John realized as a teenager that people often get stuck in patterns and that he could take advantage of his opponents' natural tendency to engage in patterned behavior. By varying his own patterns—jab, kick, kick instead of jab, kick, punch, for example—he could easily unbalance his opponent. Other forms of martial arts, such as the Aiki-jūjitsu John practices, have no predetermined moves. “You practice alone,” John said; “You practice flowing so that if somebody pushes you—and they actually call it pushing—you feel the push and you react constantly to what is going on.” At this level, the martial arts moves from being a physical and cognitive exercise to a discipline in energetic attunement. This attunement directs John's attention which, in turn, directs his action.

In philanthropy, as in martial arts, people get stuck in patterns. Learning in martial arts how to read the energy around him has helped John in philanthropy know when to work on something and at what level to direct his attention: the level of immediate needs, organizational capacity, community, or sector-building.

John's growth edge. John believes his current growth edge is to pay attention to his attention, or, in his words, “walk around in the consciousness, all of the time, of unity.” He has had many peak experiences, and he wants to bring that mountaintop consciousness into his daily life, to know that everything he is doing is coming from that base of unity. “It's being conscious enough moment to moment so that, when I'm talking

to you, I'm aware that we're not separate," he told me. "When I'm drinking this diet coke, I'm not separate from this diet coke. When I'm doing philanthropic works, it's like I'm not doing it. . . It's not really philanthropic work; it's, like, just kind of what needs to happen right then." In experiencing the fullness of the present moment, John wants to get to the place where he is fully conscious that he is not one person serving another, as is normally the thinking in philanthropy; rather, he wants to be fully and continuously aware that there is no other, only one.

Enjoying the constant consciousness of unity—what John jokingly described as his "little goal"—is in fact his ultimate goal, and it is a goal consistent with what the mystics of the world claim is possible to experience. John, however, instead of living his life as a monk or hermit, is living in the midst of a very real world filled with very real needs. John's world is a world where women flee domestic violence situations, where those who flee violent situations frequently need bras, where nonprofit organizations unknowingly track the wrong metrics, and where philanthropists are not as effective as they might like to be. It is here, amidst the seemingly disjointed rubble of humanity, that John wants to walk in unity.

Recognition. Even from his experiences of philanthropy as a young teenager, John has always preferred to remain anonymous. "On a personal level," John told me, it felt "really good to be able to [help]...; there was a sense of, 'it's just right.' Like, it's just the way things were supposed to be. We take care of each other." For John, it feels embarrassing to be recognized for doing the right thing. It is almost like being congratulated for brushing your teeth or hugging a crying child. In the world that John

inhabits, giving, more often than not, is just what you are supposed to do. He wondered aloud, “Why would you want credit for it?”

Over the years, John has learned to take his preference for anonymity lightly. There are times, he has learned, when being recognized for a gift can open doors for others, either because donors see the example and decide to also give, or because the nonprofit organizations to which he has given receive attention. John made this point this way:

If, by me doing the right thing, they use my name and that could inspire somebody or help somebody notice that they could do that too, because who the hell am I? Nothing unusual or special about me. If I can do it, you can do it. Anybody can do it, but people don't think of doing it.

Conclusion. John's life has certainly been a full one. And we did not even get to the story of when he was living as a fisherman on a kibbutz, surviving on Jaffa oranges, and falling madly in love with his Hebrew language teacher, a female soldier in the Israeli army... Maybe we had better order that lunch.

Part II: Theory-Based Analysis

John exhibits the characteristics of an Alchemist action logic. The characteristics of all action logics were summarized in Table 7 and the characteristics of the Alchemist are reproduced here as Table 18. The bulk of the discussion that follows will be organized around the characteristics of Alchemists listed on the table.

Table 18

Core characteristics of the Alchemist action logic

Action Logic	Core Characteristic
Alchemist	<ul style="list-style-type: none"> Embraces common humanity

Action Logic	Core Characteristic
	<ul style="list-style-type: none"> • Is more concerned with the experience of self than the ideas held about the self • Regularly challenges paradigms of thought and is comfortable operating in the space between paradigms • May or may not be pursuing outcomes but, if so, is doing it without attachment or fervor • Approaches seemingly tragic situations with a relaxed compassion that may be perceived as uncaring or aloof • Oriented to the present moment and, consequently, pays attention to where his/her attention is drawn • Open to feedback about every aspect of his/herself

Source: Adapted from Torbert, 2004; Rooke & Torbert, 2005

The Alchemist embraces common humanity. The Alchemist embraces common humanity. John demonstrated this characteristic in a number of ways. First, he saw little difference between himself and the people he was trying to help. In fact, were it not for those that had helped him, he believes his life could have easily gone down a different path. As he said, “There but for the grace of God go I.”

Second, he expressed a compassion for individuals that was more empathetic than sympathetic. He expressed this compassion in many ways, including trying to understand what it might be like to flee a domestic violence situation and purchasing food for people who were homeless. “They’re responsible for their actions,” he told me. “I cannot totally ignore their participation in it; [But] can I not give them food?” In both of these examples—his willingness to see how he is no different from those he tries to help and his expression of compassion for individuals—John embraces that which is common among humans, and he treats others with empathy and dignity.

The Alchemist is more concerned with the experience of self than the ideas held about the self. Unlike the Achiever or Individualist, the Alchemist is not interested in organizing his ideas about himself in a logical or definitive way. Instead, the Alchemist

experiences himself as a work in progress. For the Alchemist, the self is not a definitive identity but a process that takes place within the broader context of both the past and the present.

John demonstrated this characteristic of an Alchemist on many occasions and, specifically, in the way he approached discussing his life history. John seemed to experience time and, to a large extent, life in general, as being fluid and non-linear. In the timeline he drew of his life, John drew circular connections between childhood and adulthood events. His narration of stories interwove early and later experiences, making it clear that, for John, the past and present are inextricably linked. Unlike other interviewees, many of whom had clear cut and logical ideas about how they came to be who they are today, John seemed more interested in how he was growing and changing. In telling me about his experiences of growth, he recognized the influence of his teachers—both past and current—and the concurrent growing experiences of others with whom he worked. This emphasis on process rather than product in regard to the development of self is characteristic of an Alchemist.

The Alchemist regularly challenges paradigms of thought and is comfortable operating in the space between paradigms. John also challenges conventional ways of thinking and is comfortable with conceptual ambiguity. John demonstrated this capacity on numerous occasions and, specifically, when discussing a friendship he developed with one of his therapy clients. In general, therapists should not become personally involved in the lives of their clients. And, in general, John abided by that rule throughout his career. However, there was one client, Jessica, in whose life he did stay involved after dissolving the official therapist/client relationship. This lifelong friendship enriched both of their

lives. John described learning a lot from Jessica and, in what appeared to be a comfortable reversal of the traditional therapist-client relationship, indicated she was one of his heroes. The ease with which John accepted and, then, broke the code of not becoming involved in clients' lives is indicative of later stage thinking. Additionally, the ease with which he navigated the unclear boundaries of that relationship is also indicative of later stage thinking.

During the interviews he shared numerous examples of times when he had challenged other paradigms of thought such as encouraging philanthropists to think differently about their gifts. In this work, his focus seemed to be on the creative process itself rather than on the new ideas that were emerging. In short, John was open to challenging old ways of thinking without needing to have a new, definitive way of thinking to replace the old. His comfort within this process is suggestive of an Alchemist action logic.

The Alchemist may or may not be pursuing outcomes but, if so, is doing it without attachment or fervor; and the Alchemist approaches seemingly tragic situations with a relaxed compassion that may be perceived as uncaring or aloof.

The way John pursues the achievement of outcomes also was typical of an Alchemist action logic. John is actively working toward achieving outcomes on a number of different levels. For example, he is working with organizations around achieving organizational outcomes, and he is working on initiatives that he believes will improve the practice of philanthropy, in general. However, he is pursuing these outcomes with a sense of adventure and play rather than a seriousness often exhibited by people influenced by earlier action logics. In short, John is aware of and trying to change the

tragedies around him but, at the same time, his equanimity is not disturbed by those tragedies. This characteristic of an Alchemist, which often seems strange to others, is one of the reasons Alchemists may appear uncaring or aloof.

The Alchemist is oriented to the present moment and, consequently, pays attention to where his/her attention is drawn. John was quite conscious about what he attended to. Two examples demonstrate this Alchemist characteristic.

First, John described philanthropic activities that took place on many levels. For example, he gave examples of simultaneously working toward goals on the individual, organizational, and sector levels and was obviously aware of where he was working when. When I asked him how he knew on which level to act, he talked about his practice of the martial art form Aiki-jiūjitsu. In this martial art form, students are taught to be attuned to the energy of the environment—in Aiki-jiūjitsu, the person with whom one is sparring—and to use this awareness to determine one's next moves. This martial art form requires that the students practice awareness as much as they practice physical skills. John said that philanthropy was like this form of martial arts: it was only by staying attuned to the energy around him that he knew at what level to direct his attention – the level of immediate needs, organizational capacity, community, or sector-building. This focus on awareness of the now moment as a primary vehicle for determining how to act is characteristic of an Alchemist.

Second, John indicated that his personal goal in philanthropy was to experience continuously the unitive consciousness often described by mystics or, in his words, “to walk around in the consciousness all the time of unity.” He said he experienced glimpses of this consciousness during peak moments and knows that, with practice, he can hold

that experience continuously, even when working with individuals in seemingly desperate situations. This type of goal, which may seem strange to many, is characteristic of those who have reached later stages of development, including Alchemists (see, for example, Koplowitz, 1990).

The Alchemist is open to feedback about every aspect of his/herself. John certainly demonstrated an Alchemist's extreme openness to feedback. Indeed, he seeks out feedback. For example, John discussed his interest in evaluating his own philanthropy. He told me that he was currently considering hiring a nonprofit research center to evaluate his work. He recognized that the money he has donated has done some good, but he wants to really understand its impact and see how he can improve. As he said, "I think we're doing really, really good work, I think. We hear about it from the organizations we support. I think we can do better."

When I asked him what "better" might look like, it became clear that he was seeking feedback on multiple levels. Specifically, he described wanting feedback on 1) the external outcomes, 2) the broader impact of those outcomes, and 3) the impact of the professional development he has provided for the staff of the organizations he funds. He wants to do "good work" on all of these levels and clearly has ideas about what good work might look like. At the same time, however, he is seeking feedback that might suggest he revise his ideas about his philanthropic work, entirely. The desire to subject oneself to such a feedback process is characteristic of later stage thinking, including the thinking of those that developmental theory characterizes as Alchemists.

Conclusion. John offered ample evidence that his is operating out of an Alchemist action logic. This evidence included the ways in which John related to others,

his interest in experiencing rather than defining himself, and his comfort operating in the space between paradigms. He was also pursuing outcomes without the attachment or fervor so often experienced in earlier action logics. In fact, like the Alchemist, John approaches seemingly tragic situations with a relaxed compassion. He is, overall, focused on the present moment and was able to express that focus using the metaphor of martial arts. John is also open to and welcomes feedback about himself and his ideas.

CHAPTER 9:

TRUSTWORTHINESS

Introduction

This research study incorporated three formal methods of establishing trustworthiness. First, each narrative analysis was subject to a member-checking review by participants. This process tested to see whether participants believed I, as the researcher, had fully understood and appropriately characterized their ways of thinking. Second, participants completed the Global Leadership Profile (GLP) which served as a second assessment of developmental level. This second assessment, for which the reliability of two raters' scores was assessed using standard psychometric procedures, provided an opportunity for triangulation of interview data. Third, a formal audit was conducted to test the reliability of my theory-based analysis. The audit included a review by independent scholars of the interview transcripts, narrative analysis, and theory-based analysis for three of the participants. The results of each of these processes are discussed in this section.

Member Checking

To ensure that I had accurately understood participants' perspectives and appropriately characterized what was understood, participants were asked to review the narrative analysis developed for their case. The narrative analysis was emailed to participants for review, and participants were asked to respond to three questions:

1. Is this factually accurate?
2. Did I accurately portray the way you think about your life and about your philanthropy?

3. Are you comfortable with how I have disguised your identity?

Factual Accuracy

For the most part, participants were comfortable with the factual accuracy of the stories. In some cases, participants reviewed the document and suggested factual corrections. For example, I had incorrectly identified the type of oranges eaten by John in Israel and had incorrectly stated that Samantha's great-grandparents had immigrated to the United States when it was, in fact, her grandparents. These types of errors were easily rectified.

Accuracy of Overall Perspective

In every case, participants agreed I had accurately portrayed how they think about their life and philanthropy. For example, Richard wrote that I "captured the essence of our conversation" and Vanessa wrote, "This is well done. I actually got a little misty eyed when I read the parts of my frustrations." In two cases—the Joseph and Samantha cases—participants agreed that I had accurately captured their thoughts but, upon seeing their thoughts on paper in what will, eventually, be a public document, reacted to the harshness of their own thinking. Joseph requested he be allowed to make a few changes to, as he said, "reduce the harshness of a few things I said," but he never actually sent suggested changes; and Samantha, whose response will be explained shortly, requested more extensive edits to insure that writing about her did not inadvertently reveal her identity. Overall, however, participants agreed that I had successfully captured who they are as philanthropists and accurately portrayed how they approached their philanthropic work.

Insuring Confidentiality

The biggest challenge during the member-checking process arose when considering issues of confidentiality. Three participants—John, Melissa, and Stacey—indicated they were not concerned about confidentiality. Melissa, for example, wrote, “I don't really mind if someone happens to figure out who it is about -- I'm pretty open and have probably shared pieces of the things we discussed just in casual or not-so-casual conversations.” Other participants, specifically, Joseph and Richard, were concerned that their identities not be revealed but were comfortable with how I had changed their stories to accomplish this purpose. Other participants—including Kris, Samantha, Vanessa, and Paula—were concerned about confidentiality after reading their narrative analyses, and we worked together to get the narrative summary to a place where they were comfortable.

The two biggest discussions about confidentiality occurred with Paula and Samantha. After first reading it herself, Paula showed the narrative to a friend who suggested that Paula's identity would be easily discovered by those closest to her. This concerned Paula; but, when I asked, she did not explain why it would be a problem if someone close to her recognized her in the account of her in the dissertation or in any other venue in which it might appear. I worked with Paula to make additional changes until she was comfortable that her identity was protected.

Ironically, the member-checking process provided additional evidence that Paula was operating through a Diplomat action logic. Paula's concern was, in fact, an echoing of her friend's concern, and she could not fully articulate what, if anything, she was concerned about (i.e., what harm she was afraid would occur). This confirmed my initial assessment

that Paula was, in fact a Diplomat who struggles to author her own thoughts and feelings and, instead, looks to others to help her make decisions.

Samantha was also uncomfortable with how I had disguised her identity. She and I talked about the options and, together, decided to change key details about the foundation, the residents, and the community in order to insure confidentiality. I was content with this solution as it preserved the integrity of the story as it related to developmental theory.

Overall Reflections on Member Checking

In general, member checking was a valuable experience for me as a researcher and, seemingly, for the individuals involved. During an initial conversation with participants about the study, I explained that I would be asking them to review the narrative summary. I then reiterated this expectation during both interviews. During each of these three conversations, I assured participants I was committed to telling their story accurately and to making sure they were comfortable with how their identity was disguised. In hindsight, I believe this commitment allowed participants to feel comfortable sharing intimate stories and details they might otherwise not have revealed. Participating in a research project, especially a research project like this one, can be a vulnerable activity, and participants appreciated the opportunity to review my narrative analysis. In fact, Joseph emailed me several times asking when he would be able to review the document about him. Many participants were impressed with the narrative summary, and several thanked me for making them look good. For example, John wrote, “Boy- [sic] you sure made me sound much more than i [sic] am!!!!”

Global Leadership Profile Results

In a further attempt to demonstrate the trustworthiness of the results of the study, in general, and the interpretation of participants' dominant action logics, in particular, study participants also were assessed using the thirty-item Global Leadership Profile (GLP) sentence completion test. All instruments have limitations, of course, and, as was noted in the literature review, sentence completion instruments are especially susceptible to problems. Problems with the GLP are compounded because, although it closely resembles other instruments for which psychometric data are available, the psychometric properties of this relatively new instrument have not yet been fully investigated. The absence of psychometric information about the instrument, however, is less problematic in this context than it would be in most research studies because, here, the instrument is being used merely for triangulation purposes.

Triangulation is a concept in the qualitative tradition that is somewhat analogous to quantitative researchers' notion of reliability. The important word in the previous sentence, however, is *somewhat*. Mathison (1988), for example, noted that qualitative researchers do not expect consistency when they triangulate their findings. Assumptions about consistency, in fact, are inconsistent with qualitative researchers' constructivist epistemology. Once one assumes that knowledge is constructed rather than discovered, in other words, one also is likely to assume that different ways of generating data and/or different data sources will construct the phenomenon being studied in somewhat different ways. Mathison suggested that differences that appear during the triangulation process, consequently, are not necessarily signs of problems. Rather they represent opportunities

to better understand the phenomena being studied as the researcher attempts to make sense of somewhat different constructions of reality.

So, rather than being a consistency check, triangulation is an opportunity to gather “more and better evidence from which researchers can construct meaningful propositions about the social world” (Mathison, 1988, p. 15). Consequently, in this study, there was never an assumption that the GLP results would directly correspond to the theory-based analysis of the qualitative interview data. And, when a lack of correspondence occurred, the assumption was never that the quantitative data produced by the GLP were necessarily right and the theory-based analysis of the qualitative data wrong. Instead, the assumption was that discrepancies would be opportunities to further investigate the complex phenomena being studied, as well as the interview procedures and instrumentation used to study these phenomena.

A Review of Procedures for Administering the GLP

The plan was to distribute the GLP instrument via email to participants between the first and second interviews so that participants could, at the second interview, ask any questions they might have had about the instrument or its role in the study. Two participants requested, for the sake of scheduling, to take the GLP prior to the first interview, and these requests were granted. All participants were told that the profile typically takes 30 to 60 minutes to complete, that they should complete the survey in one sitting, and that they should complete the sentence stems with whatever comes to their mind. Once completed, GLP assessments were emailed to and scored by William Torbert’s team at Action Inquiry Associates. Assessments were scored according to the protocol described in Chapters 2 and 3 of this manuscript (for more information, see also,

Cook-Greuter, 1999; Hy & Loevinger, 1996; Loevinger & Wessler, 1970; Torbert, 2014)
A minimum of two scorers scored each assessment to insure reliability (i.e., consistency).

Results

The results of both the GLP and the interview assessments for each of the eleven participants are presented in Table 19. There was an exact match between the two assessments for three of the 11 participants (Joseph, Samantha, and Richard). There were discrepancies between the two assessments for the remaining eight participants. Four of the eight profiles had discrepancies of one action logic, and four profiles had discrepancies of two or more action logics. The average discrepancy for the group was 1.36 action logics.

Table 19

Results of GLP and Interview Assessments

Participant	Interview Assessment	GLP Assessment	Gap	Higher
Paula	Diplomat	Early Individualist	3	GLP
Julieta	Expert	Strategist	3	GLP
Joseph	Achiever	Achiever	0	
Melissa	Late Achiever	Individualist	1	GLP
Samantha	Achiever / Individualist	Achiever	0	
Richard	Individualist	Individualist	0	
Vanessa	Late Individualist	Late Achiever	1	Interview
Stacey	Strategist	Individualist	1	Interview
Phyllis	Strategist	Individualist	1	Interview
Kris	Alchemist	Individualist	2	Interview
John	Alchemist	Late Achiever	3	Interview
AVERAGE			1.36	

Possible reasons for discrepancies

The discrepancies evidenced between the two assessments presented in this study have been analyzed in-depth, and five potential reasons have been identified.

Reason #1: Discrepancies might reflect contextual variation. Cook-Greuter (1999) has written that “by definition, an ego stage is the frame of reference a person most automatically and routinely uses in everyday situations” (p. 52). This stage has also been called a person’s center of gravity or dominant frame. However, many theorists—notably Loevinger (1976) and Wilber (2000)—also acknowledge that individuals spend time “organizing identity at the level immediately above and immediately below this center of gravity depending on context and situation” (Forman, 2010, p.66). In essence, development is a dynamic rather than static process, and, consequently, when it comes to assessing the action logic a person is employing, the context in which the action logic is being employed may matter, at least for some people.

While the methodology of this study attempted, as much as possible, to identify the participants’ developmental level (i.e., dominant frame), it is also important to recognize that the interior world of any individual is a complex landscape that cannot be fully characterized by just one action logic or developmental stage. Instead, an individual’s developmental experience has been described as an “ongoing process of evolution” (Lahey, Souvaine, Kegan, Goodman, & Felix, 2011, p. 25), and any assessment (whether conducted with the GLP or interview) is but a snapshot of that complex process. If I were to have observed each individual over a longer period—such as weeks or months—and in different contexts—such as at work or with family—a more complex picture would have emerged. These complex pictures emerge because, as Fischer and Pruyne (2003) explain, “individuals show great variation in skill levels in their everyday functioning” (p.170).

Specifically, theorists suggest that individuals have both a functional and an optimal developmental level:

[An individual's] optimal level establishes the limits of an individual's independent capacity for reflective thinking or engagement in other skills with contextual support, while functional level represents the normal level of functioning the individual has attained through engagement in the activities of everyday life without contextual support (Fischer & Pruyne, 2003, p.170).

The space between individuals' functional and optimal levels is their developmental range (see, for example, Kitchener, Lynch, Fischer, & Wood, 1993). In addition to having a functional and an optimal action logic, individuals may also have a fallback action logic (Livesay, 2013; Torbert, 2004) or a frame accessed during times of heightened vulnerability or stress. Given this spectrum of developmental expressions, it is easy to see why discrepancies between the two assessments are not automatically problematic; but, instead, provide valuable additional data. For some of the participants in this study, the complexity of their developmental experience became evident during the interviews. This was especially true for participants assessed as being at or near a transition between stages, e.g., Melissa, Samantha, and Vanessa. For other participants, the interviews and ensuing analyses captured only a sliver of the complex process at work.

In short, it is easy to see how discrepancies in the assessments made by the GLP and the interview might be reflective of the natural presentation of the developmental process. For example, a participant might respond differently when being interviewed in a public space (i.e., coffee shop) about their philanthropy—something they are

presumably proud of, for example, than when completing an online survey instrument in the privacy (or chaos) of their home or office. It is easy to imagine that if a participant had completed the GLP toward the end of a particularly hectic day, the responses might reflect their functional or fallback action logic rather than optimal action logic. If this was the case, discrepancies between the assessments would indicate that both instruments accurately reflected the participants' thinking *in the particular moment it was administered*. This possibility is especially likely for the four individuals—Melissa, Vanessa, Stacey, and Phyllis—for whom there was only one action logic difference between the two assessments. In essence, the difference of one action logic between assessments could be considered evidence of the participant's developmental range.

Reason #2: Philanthropy may be an activity during which donors, particularly postconventional donors, may be more likely to exercise their optimal action logic. In five of the eight cases with discrepancies, interview data (where philanthropy was directly discussed) was rated higher than the GLP assessment (which did not directly, or even indirectly, focus on philanthropy). These cases include Vanessa, Stacey, Phyllis, Kris, and John, all of whom were assessed by interview data as being in postconventional stages. These data are far from conclusive, especially given that the opposite was true for three of the eight cases; however, there are logical and theory-based reasons to think philanthropy may provide an opportunity for donors to exercise optional action logics.

There is some literature to support the argument that philanthropy may be a place where donors exercise an optimal action logic. Maslow (1998), for example, suggested that at a later stage of development—what he termed Self-Actualization—people's

professional environments becomes the places where they worked on their inner self. He suggested:

This is because the work or the task out there which has become part of the self can be worked on, attacked, struggled with, improved and corrected in a way that the person cannot do directly within his own inner self. That is to say, his [sic] inner problems can be projected out in the world as outer problems where he [sic] can work with them far more easily and with less anxiety, less repression than he could be by direct introspection. (p.17)

If professional environments become a space through which later stage individuals work on themselves, it is conceivable that philanthropy might also be an activity in which individuals, particularly later-stage individuals, work on themselves.

Logically, there would be at least three reasons why this would occur. First, the developmental process is a place where the individual wrestles with the questions of “what is me” and “what is not me.” Philanthropy invites individuals into relationships with others from widely different backgrounds and life situations, inviting the donor to see ways in which his or her life is different from but also, and, often surprisingly, similar to those in need. In the process of philanthropic activities, a reflective donor might naturally ask him- or herself developmentally-oriented questions about the boundary between self and other. Second, philanthropy invites individuals to think about and attempt to rectify incredibly complex problems such as poverty and social injustice. Individuals employing most action logics would, presumably, be “in over their heads” (Kegan, 1994) if they tried to solve these problems at their current level of thinking. In short, the process of pondering and discussing these issues might, in and of itself,

encourage individuals to seek increasingly complex ways of thinking. Third, the dominant narrative of donors-as-good-doers might make the philanthropic arena a place of safety in which the donor might explore ways thinking that otherwise might be anxiety provoking.

If philanthropy is a place where individuals are encouraged to exercise a higher action logic, this may be the reason the interview data of five participants-- Vanessa, Stacey, Phyllis, Kris, and John—were scored higher than their GLP assessment. This point certainly warrants future research.

Reason #3: Reactivity bias may have occurred during the interview process.

Participant reactivity to being studied is often a problem in research, and this problem is especially acute in qualitative studies. There were, in fact, a number of potential sources of participant (and, also, researcher) reactivity and resulting bias during the interview portion of the study.

First, reactivity and a resulting bias may have been promoted by the interviewee/interviewer rapport developed during the two interviews. For example, it is possible that the rapport I developed with participants may have affected the extent to which they did or did not feel comfortable sharing personal, intimate details of their lives and of their thought process. Participants who were less comfortable may have refrained from sharing the true complexity of their thought processes and, conversely, participants who felt more comfortable with me may have more willingly explored later stages of thinking than they would have otherwise spontaneously considered.

Rapport also may have influenced my interpretation of the data. My relationships with participants, which were naturally warmer with some participants than others, for

instance, may have biased my assessment of the individuals. For example, I had a natural affinity toward Stacey and John who, perhaps, not coincidentally, were two of the highest rated participants. It is conceivable that I rated them higher because of the warm relationship; of course, it is also possible that the relationship was warmer because of their developmental advancement. It should be noted, however, that my relationship with Phyllis and Kris, two other high-scoring individuals, was not especially warm. Therefore, this possible source of bias seems plausible but unlikely.

Another way to think of reactivity-based bias resulting from the establishment (or the failure to establish) rapport is to recognize the difference between what Loevinger and Wessler (1970) have labeled the psychometric versus clinical frame. They have argued that it is difficult for clinicians (i.e., those with personal contact with participants) to accurately assess an individual's developmental level on a sentence completion test because clinicians tend "to think of every bit of behavior as completely determined by the patient's particular constellation of traits and circumstances" (p. 12). Instead, Loevinger and Wessler advocate for a psychometric frame. Specifically, they suggest that scoring of sentence completion tests be done in batches (each individual stem is scored for all participants before moving onto the next stem) so as to avoid being swayed by the gestalt of one person's responses. This suggestion was repeated in the second version of the scoring manual (Hy & Loevinger, 1996).

While I am not a clinician, the role of interviewer/interviewee does mirror a clinical relationship in that I had access to many details about these individuals and, over the course of two interviews and multiple coordination emails, developed a relationship with them. It is possible that bias was introduced as a result of my access to and potential

inability to see beyond a participant's "constellation of traits and circumstances" (Loevinger & Wessler, 1970, p. 12). For the counterargument to this possible source of bias, see Reason #5 below.

Finally, it is possible that my own developmental level affected my ability to accurately assess data collected during the interviews. Loevinger and Wessler (1970) have written that "our chief access to a person's ego level is precisely what limits what he can conceive and perceive; that limitation holds for raters as well as for subjects" (p. xiii). Cook-Greuter (1999) has suggested that this limitation is especially relevant when rating postconventional (or later-stage) individuals. This limitation may have been present in this study. For example, after my analysis, I felt confident in my assessments of individuals at early and middle action logics (Opportunist through Individualist). I was also comfortable with my assessment of one participant at the Alchemist level because the data were so compelling. However, I found myself questioning my assessments of several individuals who were clearly postconventional (i.e., somewhere between Individualist through Alchemist). For each, I deliberated between several possible assessments. In particular, I struggled for several weeks each to accurately assess Kris and Stacey.

I used a number of techniques to overcome the limitation of my own developmental level and accurately assess postconventional participants. In particular, I found it helpful to compare one participant to the others, and to look at that participant's life trajectory. For example, in finalizing Kris' assessment, I compared Kris (who I eventually characterized as an Alchemist) to Richard (Individualist), Phyllis (Strategist), and John (Alchemist) to see where there were similarities and differences. I also looked

at the trajectory of Kris' leadership style throughout her life, and noted how her motivations for leadership had changed over time. These data were then related back to the theory about developmental levels. This process led me to conclude that Kris' current state was more Alchemical than not. In future studies it would be helpful to have a co-researcher with whom to discuss these issues.

In assessing postconventional participants, it was also helpful to analyze whether interview data offered evidence of stages of development (i.e., Torbert's action logics and Kegan's orders of consciousness) or other forms of intelligence such as cognitive, interpersonal, intrapersonal, and physical. Richard, for example, had highly developed interpersonal and intrapersonal skills and, at a quick glance, appeared to be operating as a Strategist. Further probing uncovered that, as a CEO, he had deployed his inter- and intra-personal skills in order to reach his business goals (which is indicative of an Achiever mindset) and, not to better understand himself (which would have been indicative of an Individualist action logic) or to help others develop (which would have been indicative of a Strategist action logic). This insight allowed me to conclude that Richard had been operating as a high-functioning Achiever when he was a CEO and, now, is operating as an Individualist.

Suffice to say, assessing postconventional participants posed a distinct challenge and may have been a place where bias was introduced in this study. The tactics described above were helpful in overcoming the limitations.

Reason #4: The characteristics of the Subject-Object interview, itself, may have influenced the assessment. As described in Chapter 3, the type of interviews I conducted during the second meeting with participants could be characterized as

modified Subject Object interviews (Lahey, Souvaine, Kegan, Goodman, Felix, 2011). The Subject-Object interview, which provides specific prompts and follow-up questions designed to assess for developmental level, may have influenced the assessment by eliciting participants' optimal rather than functional developmental levels. This is especially likely for postconventional participants; the semi-structured conversational interviews allowed for a nuanced exploration and, consequently, sensitive analysis of postconventional thinking.

Cook Greuter (2003) has argued that the Subject-Object interview offers a “scaffolded psychodynamic intervention” in that the interviewee has the opportunity to show “the highest meaning making under support conditions” (p.1). She suggests that this type of interview can serve as a developmental intervention of sorts that, quite possibly, can help interviewees generate new awareness during the interview, itself. The developers of the Subject-Object interview concur and have stated that, during the process of trying to understand the structure of the interviewee's thought process, “interviewees often do feel they have learned something” (Lahey, Souvaine, Kegan, Goodman, Felix, 2011, p. 211). They also quickly add, however, that interviewers are not playing the role of therapists or teachers; while interviewees may learn something about themselves during the process of the interview, this learning is not the goal in conducting Subject-Object interviews.

Despite this lack of intent, in two cases—Richard's and Stacey's—the reflective interview prompts did, in fact, appear to illuminate and make available a perspective they were using but not yet able to fully reflect upon. Here is an excerpt from a transcript of

my second interview with Stacey in which my prompt obviously encouraged her own deeper understanding.

JAJ: For you, it sounds like part of your philanthropy is helping other people think differently about their lives, almost.

Stacey: That's a great succinct way of saying that. I've never thought, "Gee, I'm going to help people think differently about their lives," but I think that's how change really has to happen. People who are living the issues have to think differently about their lives. The best we can do is help them find those different paths.

As evidenced throughout the interview, Stacey's actions and words suggested she believed the best way to effect change was to help others think differently about their lives; however, she had not yet consolidated or reflected upon that belief until the interview. In Kegan's terms, she was *subject* to this belief. During the course of the interview, this belief became *object* or, in other words, it became explicit, conscious, and available for her to consider.

A caveat is probably in order here: The literature on Subject Object interviewing would suggest that the interview does not create the belief. In other words, Stacey's belief, which is suggestive of a Strategist orientation, existed prior to the interview and had been shaping Stacey's thoughts and actions for quite some time. This process of illumination that occurred during the interview, however, may suggest that Stacey was, to use Kegan's (1982, 1994) language, still finding her "balance" within the Strategist action logic at the time of the interview. If this is the case, my assessment of her as a Strategist and the GLP's assessment of her as an Individualist are both understandable.

In other words, the discrepancies, at least in this case, are anything but problematic; rather, they provide a more complex understanding of the trajectory of a person's developmental experience and, at the same time, illuminate an interesting property of the Subject-Object interview tool.

Additionally, a comparison of GLP and interview assessments suggest that the Subject-Object interview might be a more sensitive tool for identifying postconventional ways of thinking. Postconventional ways of thinking are, by their very definition, complex and nuanced. Torbert, himself, likened the distinction between conventional and postconventional thinking to "Plato's two distinctive images for the nature of thought in the Theaetetus – as either 'marks on a wax tablet' of the mind, or 'birds flying about in an aviary' of the mind" (Torbert & Livne-Tarandach, 2009, p. 146). The data generated over a 60 to 90 minute interview is far richer and more nuanced than the responses to 30 sentence stems. To maintain the metaphor: An interviewer has far more opportunities to observe and engage with a participant's flying birds of thought than does a person reviewing GLP sentence stems.

Reason #5: Bias may have been introduced by the GLP analysis procedures.

While bias is expected in qualitative studies in which the researcher is the study's primary instrument, the use of an actual instrument to generate quantitative data is hardly an adequate safeguard against bias. I have already noted, for example, some of the problems with GLP (e.g., the newness of the instrument and the resulting absence of psychometric support, the limitations of all sentence completion instruments). Here I will focus on two other less obvious potential limitations and resulting biases, limitations and

biases that conceivably could exist even with more psychometrically defensible instruments.

Psychometric versus clinical frame. The interview and the GLP data were generated using quite different analysis processes. As noted previously, interview data, of necessity, were analyzed using a clinical approach; the GLP analysis, on the other hand, drew heavily upon what Loevinger calls a psychometric approach (Hy & Lovinger, 1996; Loevinger & Wessler, 1970), though there was also a nonpsychometric (i.e., more clinical) process involved (Hy & Loevinger, 1996, p.39). The protocol for rating profiles, summarized in more detail in Chapter 3, was as follows: First, GLP researchers scored each sentence stem individually according to the manual for the WUSCT for early action logics (Hy & Loevinger, 1996) and to Cook-Greuter's (1999) manual for later action logics. Second, researchers reviewed all of the responses for a particular profile and developed an intuition-informed Total Protocol Rating (TPR) which, according to Torbert, was both theoretically and empirically influenced. The TPR could be considered a more clinical approach to scoring. Then, returning to the 30 manual-based scores of the individual items, researchers used the cumulative frequency to determine participants' Statistical Protocol Rating (SPR). The SPR was identified through an algorithm established by Hy and Loevinger (1996, p.39). The SPR could be considered the more psychometric approach to scoring. Finally, the SPR was compared to the TPR to determine the final assessment, although it is unclear how, exactly, the more clinical TPR was used to modify the more psychometric SPR, and whether the TPR had much influence.

One potential problem is that the process of *first* developing item-by-item manual-based ratings could, quite possibly, influence the researcher's intuitive assessment to the extent that important nuances are lost. To be more specific, if an item was rated as at Expert or Diplomat level based on the manual, there is little incentive or reason for the researcher to question the manual-based interpretation to the extent that would be needed to reassign a participant's score. Assuming all researchers were deeply familiar with the manual, this could, potentially, be the case whether or not the researcher had scored that participant's responses before developing a TPR.

So, just as earlier I acknowledged that the clinical approach I used to analyze the qualitative interview data may have introduced bias, here I am suggesting that the more psychometrically-oriented approach—or, at least, the *psychometric-first* approach—used to analyze the GLP data may have introduced a somewhat different form of bias, and that this form of bias could have extended even to the researchers' intuition-based rating. The only thing that is certain is that at least some of the discrepancy that appeared during the triangulation process is likely to be attributable to the two very different approaches to analysis that were employed.

Illusory correlations. The second less-than-obvious problem I want to discuss in making sense of the discrepancies that appeared during the triangulation process involves what Chapman (1967) years ago identified as illusory correlations.¹² This term refers to “the report by observers of a correlation between two classes of events which, in reality,

¹² The term illusory correlation is found in the psychological literature. Its use may confuse some readers who are accustomed to a more traditional (i.e., statistical) use of the term correlation. An illusory correlation is, in fact, a real correlation; however the correlation is inaccurate. For example, there is a relationship between the researchers' assessments and the phenomena being studied; however, despite this association, the assessments are not correct.

(a) are not correlated, or (b) are correlated to a lesser extent than reported, or (c) are correlated in the opposite direction from that which is reported” (p.151). Chapman suggested that illusory correlations are more likely to occur when one of the two events is distinctive (i.e., rare) and/or when both of the two events are otherwise associated (i.e., connected in some way). Chapman also indicated there is often “agreement among observers in erroneously reporting the same correlations” and suggested that the pattern of erroneous agreement suggests illusory correlations can be the result of what he described as the invoking of “systematic principles” (p. 152). More recently, scholars have suggested that the illusory correlation is a function of incomplete learning; with access to additional information, in other words, ideas produced by illusory correlations can disappear (Murphy, Schmeer, Vallee-Tourangeau, Mondragón, & Hilton, 2011).

Starr and Katkin (1969) tested and confirmed the presence of illusory correlations in clinical diagnoses that were based on sentence completion tests. Their study, which asked participants to associate clinical assessments to sentence completion test answers from the Rotter Incomplete Sentences Blank, included a group of eight clinical psychologists with a mean of 9.25 years of diagnostic experience and three groups of twenty (n=60) undergraduate and graduate psychology students. The study found that “a number of illusory correlations emerged” and that there was “striking similarity among the clinicians[sic] choices and the illusory correlates” (p. 674).

With the assessments made via the GLP, it is easy to see how illusory correlations—i.e., inaccurate associations between assessments of and test takers actual action logics—might occur, particularly given the limited data of a 30 sentence stem instrument. Torbert and his associates have a policy that requires each test to be scored by

two raters, thus providing a form of interrater reliability. However, the literature on the illusory correlation would suggest that, if an illusory correlation exists, the practice of interrater reliability might reinforce rather than unearth it. Contrary to Loevinger's caution that a psychometric scoring of the WUSCT is preferable to a clinical approach to scoring, the illusory correlation literature suggests access to more data, not less, helps reduce the presence of erroneous assumptions.

Conclusion

Thus far, I have described five possible reasons for discrepancies between the assessments yielded by the GLP and assessments derived from the interviews. As was previously stated, discrepancies that appear during efforts to triangulate qualitative data can serve to both illuminate inevitably complex social phenomena of development and critique the methods and instrumentation that were employed to generate data. Table 1 lists these possible reasons and associates each reason with the cases where discrepancies appeared. The association between reasons and cases was also made previously, at the end of the discussion for each reason. Also included in the table are the gaps—or number of action logics—between the two assessments. The associations portrayed in Table 20, of course, represent hypotheses rather than definitive findings.

Table 20

Matrix of possible reasons for discrepancies between assessments

Participant	Melissa	Vanessa	Stacey	Phyllis	Kris	Paula	Julieta	John
<i>Gap Between Assessments</i>	1	1	1	1	2	3	3	3
Natural Presentation of Complex Phenomenon	X	X	X	X				
Philanthropy Provides an Opportunity to Explore Optimal Level		X	X	X	X			X
Bias Introduced by Researcher			X		X			
Bias Introduced by Interview			X		X			
Bias Introduced by GLP						X	X	X

Further exploration of three cases. In addition to exploring the aforementioned reasons for discrepancies between my assessments and the GLP, I investigated the cases with the largest discrepancies. In particular, I looked at the three cases with discrepancies of three action logics: Paula, Julieta, and John. For two of these discrepancies (Paula, Julieta), the GLP rated the individuals higher and, for the final case (John), the GLP rated the individual lower than the interview-based data. According to my interpretation of the interview data, these three individuals scored at the extreme ends of the action logic continuum. As shown in as an Alchemist.

Table 21, Paula was identified in interviews as a Diplomat, Julieta as an Expert, and John as an Alchemist.

Table 21

The three cases with the largest discrepancies between assessment techniques

Participant	Interview Assessment	GLP Assessment	GAP
Paula	Diplomat	Early Individualist	3
Julieta	Expert	Strategist	3
John	Alchemist	Late Achiever	3

It was previously stated that discrepancies are not, in and of themselves, problematic in the triangulation game; triangulation, after all, is not the same thing as reliability and, when one assumes that all knowledge is inevitably constructed, one assumes that different sources of data may, indeed, construct knowledge differently. Differences that appear in the triangulation process, therefore, represent sense-making opportunities that, presumably, should heighten understanding of the phenomena being studied as well as the different methods used to study the phenomena. The extreme nature of the discrepancies in the Paula, Julieta, and John cases requires that the challenge to make sense of discrepancies in these three cases be pursued because it is unlikely that such a large discrepancy can be explained by one of the five reasons detailed above. Rather, it is probable that some error was introduced in either the interview or GLP.

In analyzing these discrepancies, I first approached William Torbert and provided him with an opportunity to review his team's assessment of the GLP for both John and Paula. I did not ask for a review of the Julieta rating because, at that time, Julieta had not yet completed the GLP. Both Torbert and his associate, Elaine Herdman-Barker,

reviewed these profiles and, via email, Torbert (personal communication, August 25th, 2015) stated that:

We are confident that the GLP scores for both [Paula] and John are accurate, in the sense that the sentence stem responses have been reliably scored (as I think you know, we do a reliability test on every single score before sending it out; and we have both now reviewed the scores yet again and found nothing to change).

I then furnished Torbert with the preliminary theory-based analysis for John and Paula; however, he and Barker were (rightfully) unable to make an assessment because the analysis contained my interpretation rather than simply the data from the case (which was encapsulated in the much longer interview transcripts and narrative analysis). I then sent both Torbert and Barker the narrative analysis, but I did not hear back from them after doing this.

My attempts to work with Torbert to understand the discrepancies did not yield any answers. He did, of course, invoke the notion of reliability, but, as was noted above, reliability can reinforce rather than be a safeguard against illusory correlations. The reinforcement scenario seems especially likely when raters have worked together for a long time and have learned to see things in similar ways. In addition, he claimed that a more clinical approach supplemented the psychometric approach he employed. Yet he never discussed how that approach was used to modify scores and ratings generated through the psychometric approach, so it is not clear that this had much of an impact on the process. Still, Torbert's confidence in his assessment results made it even more important that I critically review my own assessment of the interview data. To that end, I

instituted a formal audit (Lincoln & Guba, 1985) of my interview data and assessment. The procedure and results of the audit are presented in the next section.

Audit

For many decades, now, advocates of qualitative research have recommended the use of audits to insure the trustworthiness of qualitative findings (Lincoln and Guba, 1985). There is little evidence, however, that many audits have actually been undertaken. This research study included a formal audit designed to assess the trustworthiness of my theory-based analysis. The audit was, part, a response to discrepancies that appeared during the triangulation process, and seemed especially needed to explore the three cases with the largest discrepancies between my assessment and the GLP's assessment: Paula, Julieta, and John.

Audit Procedure

I invited three researchers to serve as auditors. All of the invited researchers were familiar with developmental theory in general and Torbert's theory in particular. Each auditor was given data to review for two of the three participants (Paula, Julieta, and/or John); the use of two auditors allowed me to test for inter-rater reliability among auditors.

For each participant, auditors were asked to read through the two interview transcripts, and then read, first, the narrative analysis and, then, the theory-based analysis. After reading each analysis, auditors were asked to write their answers to the following questions:

Review the two interview transcripts and the narrative analysis. Comparing the two, please answer the following questions:

- Does this narrative analysis seem to be consistent with the story the participant tells about him/herself?
- Are all relevant data included, or have data that would specifically speak to the participant's developmental structure been inadvertently omitted?

Then, review the theory-based analysis and answer the following questions:

- Based on the data presented in the transcripts and the narrative analysis, does the overall assessment seem accurate?
- If not, please identify why it is inaccurate and what other assessment should be considered. For example, were data available but not included, or, perhaps, was there not sufficient data available to make an assessment?

One final element of the process: The three auditors were unaware of the discrepancies between my assessment and the GLP.

Audit Results

Overall, the audit results were consistent with the assessments I had made for the three participants. The results of the auditors' responses to the first three questions are presented in Table 22. In some cases, auditors included written comments for the first three questions. These comments are summarized in the table. All written comments, including feedback from the fourth open-ended question, are presented and discussed immediately following the table. Written comments are organized by participant.

Table 22

Audit results for Paula, Julieta, and John

	Paula		Julieta		John	
	Audit #1	Audit #2	Audit #1	Audit #2	Audit #1	Audit #2
Does this narrative analysis seem to be consistent with the story the participant tells about him/herself?	Yes	Yes	Yes	Yes	Yes	Yes
Are all relevant data included, or have data that would specifically speak to the participant's developmental structure been inadvertently omitted?	Yes	Yes	Noted that the participant's experience in Junior Achievement was not in narrative analysis.	Yes	Noted one data point was in Part I but not Part II.	Suggested including more about John's discussion of balance.
Based on the data presented in the transcripts and the narrative analysis, does the overall assessment seem accurate?	Yes	Yes	Yes.	Yes. Also saw evidence of an Achiever action logic.	Yes	Yes

More about Paula. Auditor #1 had no comments. Auditor #2 made one small suggestion on the narrative analysis: She suggested that I change the term oriental medicine to eastern medicine.

More about Julieta. Auditor #1 wrote that she “did not see any inaccuracies or missing data.” This auditor also noted that Julieta’s theory-based analysis seemed to be “strong” and suggested I find ways to tone it down. I revised the analysis accordingly. It was also mentioned that Julieta’s participation in Junior Achievement was not included

the narrative analysis. I had, in fact, included a brief mention of Junior Achievement. This participation did, as Auditor #1 suggested, lead to an interest in business administration; however, that piece of data does not necessarily add to our understanding of her structure of thought, and so I chose not to elaborate.

Auditor #2 also assessed Julieta as being grounded in the Expert action logic and, at the same time, suggested that Julieta's interview transcripts also provided evidence of an Achiever action logic. He wrote:

Specifically, she appears very results oriented in her work and education.

Additionally, her focus on rules seems to have a dimension of justice and ethics to it. She seems inspired by what her work can [do] for the people she serves. I also wondered if her high standards (such as in her pursuit of education and recovery from the accident) emerged from the Achiever logic as opposed to the Expert.

I reviewed the data and agree with Auditor #2's suggestion that some of these data points could be interpreted as an emerging Achiever action logic. I also took into consideration Julieta's family background and her personal history as a life-long high achiever (in the colloquial use of the word). Specifically, she grew up in a minority household that routinely faced discrimination, social injustice, and pressure to assimilate into the majority culture. The question that helped solidify my assessment and, ultimately, choose to not incorporate Auditor #2's suggestion about labeling Julieta an emerging Achiever was a question I considered repeatedly when conducting the interview: Why is the interviewee doing/thinking this? On behalf of what? Julieta displayed an Expert-like orientation to rules, procedures, and efficiency over effectiveness. She did not display

evidence that she made sense of the world either across or outside of these technically oriented boundaries.

More about John. Auditor #1 wrote that she had “no concerns about inaccuracies or omissions.” Auditor #2 made two suggestions. First, she indicated that she would have liked to have seen a greater mention of John’s experience of balance as developed through marital arts. She made a specific suggestion as to where that might be added in the narrative analysis and, agreeing with her, I added the information. Second, she suggested I analyze John’s history through the lens of the work of theorist Clare Graves, paying specific attention to the ways in which postconventional memes incorporate the experiences of previously transcended memes. I appreciate this suggestion and did, at one point early in data collection, consider analyzing the developmental trajectory of all participants. Ultimately, I chose not to do this for two reasons. First, I could not be sure with my current methodology that I had gathered sufficient data to accurately, from a developmental perspective, analyze the lifespan of a participant. Second, I made a choice at the start of the project to analyze data through the theories of Torbert, specifically, and, more generally, Kegan. I chose not to incorporate spiral dynamics—including Graves’ work—because I wanted to narrow the focus for the purposes of this project. I believe, however, Auditor #2’s suggestion is well-taken and I plan to incorporate it in future research.

A Note about the Process

According to the auditors, each case took approximately two hours to audit. Most of that time was spent reading materials. Some auditors made notes while they were reading the transcript about what they thought should be included in the analyses and

then compared their notes to my analysis. This appeared to have been a helpful process for them.

Auditors also offered minor edits to the documents and suggested important clarifications. This was especially helpful in the case of one auditor who had little experience with nonprofit organizations; her comments helped me to more succinctly present sector-specific issues to the lay reader. This situation, incidentally, somewhat surprised me. I had originally hoped to invite auditors that, in addition to knowing developmental theory, also had in-depth knowledge of the nonprofit sector. I did not anticipate how helpful a fresh set of eyes would be. I encourage others who may create an audit procedure to consider inviting at least one auditor that not have content-specific experience.

As I had hoped, this exercise was beneficial for me and, apparently, for the auditors. One of the auditors expressed a desire to adapt my audit process for his dissertation. Another asked me to talk to her about the process of this research.

It is important to note that this process does potentially introduce a bias similar to the bias introduced in the analysis of the GLP assessments: Just as the GLP researchers had a similar understanding of the phenomena being assessed on the GLP, so, too, did the three auditors. Each had received their training in adult development at the same institution. This is not necessarily problematic. After all, it is a standard operating procedure for researchers to purposefully undergo similar training before beginning a research project or, at the very least, come to a consensus on how to approach the topic at hand. This consistency provides a foundation from which data can be systematically analyzed. However, it must be noted that similarity in training also introduces the

possibility that, should error occur, this error might occur consistently across researchers. In other words, an auditing process consisting of similarly trained individuals might not be an effective defense against the presence of illusory correlations, should any be in operation.

Conclusion

The two formal attempts to insure that my qualitative results were trustworthy—i.e., the audit and the member checking process—suggested that, in general, my analyses were on target. Member checking also served as a way to ensure that participants were comfortable with how I had disguised their identities. This last point is especially important given the sensitive nature of the analyses offered in this project. In the case of the audit, the process was consistent with my overall analysis and yielded valuable suggestions that improved the presentation of findings. Additionally, triangulating the results of the GLP and the interview offered an opportunity to explore the differences of the two instruments (Cook-Greuter, 2003).

CHAPTER 10: CROSS-CASE ANALYSIS

Introduction

This section will identify and discuss four major themes that were identified during a cross-case analysis of the eleven study participants. The themes relate to a) the relationship between the participants' action logics and their philanthropic practices (though, not the content of their philanthropy) and b) the relationship between the participants' developmental growth process and their philanthropy. I used Kegan's (1982, 1992) theoretical framework and the data generated during the modified subject-object interview (Lahey, Souvaine, Kegan, Goodman, & Felix, 2011) to separate *how* participants thought from *what* they thought. For this study, the content of philanthropy—what, exactly, the participants are doing or to what organizations they are giving—is not as important as how they think about their philanthropy. Consequently, as noted, the content of initiatives and programs participants contributed to is not the focus here. Implications of the identified themes and opportunities for further research will be addressed in the following chapter.

The eleven cases could easily be clustered by participants' major action logics, and these action logics, in turn, could be used to code participants as being at early, middle, or late-stages of development. As illustrated in Table 23, the three groups are as follows: Participants classified as operating with early action logics were assessed at either the Diplomat or the Expert level. This group included Paula (Diplomat) and Julieta (Expert). Participants classified as operating with middle-level action logics were those who were classified as Achievers or Individualists. This group included Joseph

(Achiever), Melissa (Achiever), Samantha (Achiever/Individualist), Richard (Individualist), and Vanessa (Individualist). Participants coded as operating with a later action logic were the Strategists (i.e., Stacey and Phyllis) and the Alchemists (i.e., Kris and John).

Table 23

Categorization of action logics

Category	Action Logics	Participants
Early	Diplomat, Expert	Paula, Julieta
Middle	Achiever, Individualist	Joseph, Melissa, Samantha, Vanessa
Late	Strategist, Alchemist	Stacey, Phyllis, Kris, John

The assignment of Individualists to the middle group requires discussion. The developmental shift in moving from Achiever to Individualist is quite remarkable; the Individualist is the first action logic that Torbert's theory categorizes as being postconventional, a term describing the developmental capacity of individuals to spontaneously and willingly reflect upon themselves and upon their goals. As we saw with Richard and Vanessa, a person at the Individualist level becomes engaged in redefining any and all aspects of his or her life. It is a very different developmental stage than the Achiever, a stage that is not associated with such reflection.

Despite these differences, I chose to categorize the early, middle, and late action logics according to Kegan's (1982, 1994) theory rather than along the conventional/postconventional distinction. This categorization, likely influenced by my use of a modified Subject-Object interview, offered a clearer explanation of structure of thought in regard to philanthropy. For example, both Achievers and Individualists represent aspects of a Self-Authoring Mind (Kegan, 1982, 1984) as evidenced by their

active pursuit of the refinement of at their own self-authored ideas, or what scholars call the development of an “internally consistent but self-sealing” (Souvaine, Lahey, Kegan, 1990 p. 237) construction of the self. For reasons which will become evident in this section, this orientation to self-authorship—rather than a pre- versus postconventional grouping—was deemed to be more useful in categorizing Achievers and Individualists. A comparison of the developmental stages described in the theories of Torbert and Kegan was presented in Table 5 and is represented again in Table 24.

Table 24

A mapping of the theoretical frameworks of Torbert and Kegan

Torbert	Kegan
Alchemist	Self-Transforming Mind
Strategist	
Individualist	Self-Authoring
Achiever	
Expert	Socialized Mind
Diplomat	
Opportunist	Instrumental

Sources: Torbert 2004, & 2013; Rooke & Torbert, 2005; Kegan 1982 & 1994

Theme #1: Convictions: The Structure of Beliefs Regarding Philanthropy

It became clear early in the interview process that participants of different action logics structured their ideas (i.e., convictions) about philanthropy in fundamentally different ways. I grouped the data about belief structures into three distinct categories—corresponding with early, middle, and later action logics—each of which will be described in the ensuing pages. These groupings are presented in Table 25.

Table 25

Relationship between action logics and structure of participants' beliefs about philanthropy

Action Logic	Belief Structure
Early (Diplomat, Expert)	Incomplete, seeks alignment with external sources, oriented to people or procedures
Middle (Achiever, Individualist)	Self-defined, oriented to outcomes
Late (Strategist, Alchemist)	Complex, evolving, and oriented to broader themes

The following discussion of these three categories will focus on the structure of donors' beliefs in regard to either the nature of the problem addressed by or the solution addressed through philanthropy. For each of the three categories, data from selected participants are presented for illustrative purposes. A reminder: The focus here is on the structure, not content, of participants' beliefs.

Participants of earlier action logics—for example, Paula (Diplomat) and Julieta (Expert)—were strongly motivated to address problems through nonprofit organizations; however, they struggled to explain both the problems they sought to address and the solutions they proposed. Select responses that illustrate this predilection are presented in Table 26. Compared to participants that exhibited middle and later action logics, Paula and Julieta's ideas seemed incomplete; it was as if Paula and Julieta's thinking was still in the process of being formed. Both looked to external sources for answers. Paula, for example, routinely looked to her friends for advice about philanthropic and other decisions. For example, in the quote in Table 26, she answers a direct question from me about her ideas by referring to conversations she has had with others. This was one of many occasions when she deferred to others' ideas rather than discuss her own. Julieta,

on the other hand, used her knowledge of policies and procedures, and of socially acceptable ideas of right and wrong, to make decisions. Consistent with the Expert action logic, these decisions were technically sound and efficient and did not suggest that Julieta was considering a more comprehensive, long-term approach to problem solving. Both of their ideas and activities were oriented to, and had the goal of, aligning with respected people or established standard operating procedures.

Table 26

Quote matrix illustrating structure of beliefs at early action logics

Participant	Sample Quotes
Paula	<p>JAJ: <i>When you think about the organizations that you're helping or the organizations that you come into contact with, what do you see as the biggest concerns or issues? What are the places that need attention?</i></p> <p>Paula: <i>I think just from talking with people. [Pauses – needs to think. Seems hesitant.] It's not that these organizations are putting a lot of money into marketing. It's not like they're putting a lot of money, and just sort of getting their organizations sort of up technologically. I mean just off the top of the head that's what I see.</i></p>
Julieta	<p>When asked why she wanted to be in the Ethics Commission:</p> <p>Julieta: <i>"I want to be there to do due diligence, to gather the facts, correctly analyze, [and] provide results regardless of who may be happy or not."</i></p>

Participants exhibiting middle action logics—for example, Joseph (Achiever) and Richard (Individualist)—either had a well-defined understanding of the problems they were addressing and/or had a good sense of the solutions that were likely to be viable, or, in the case of Richard, had confidence in his ability to come to such an understanding. They relied on their own experiences to help them define the problems before them and

to identify the solutions to pursue. Both of these individuals had the capacity to articulate the outcomes and indicators of success they sought as a result of their philanthropy, and they both aligned their inquiry and actions accordingly. Richard, as an Individualist, also routinely questioned and, to use his word, “redefined” his beliefs. Quotes which illustrate these ideas are presented in Table 27.

Table 27

Quote matrix illustrating structure of beliefs at middle action logics

Participant	Sample Quotes
Joseph	<p>JAJ</p> <p><i>When somebody comes in to Social Venture Partners, what do you want them to learn?</i></p> <p>Joseph:</p> <p><i>We want them to learn that there are 12,000 non-profits in San Diego, and 11,000 should probably go away. Every one of those organizations, while they are passion-rich, they're strategy-poor. They are sopping up resources—dollars and board members—for organizations that will never become sustainable, or scaled.</i></p> <p><i>By concentrating on building the organizations that can, you increase the likelihood that you'll have a more sustainable non-profit community.</i></p>
Richard	<p>Richard (discussing being a volunteer):</p> <p><i>I think I can be a recruitment tool that sort of brings more people into the [organization to volunteer. But] I have a broader goal. . . what I hope to understand about the foster care system is this is where it's broken. [There are] simple things that are obvious to a lot of people. For example, they carry around all their stuff in black trash bags. They literally have a black trash bag. Isn't there a way to get them a suitcase? It's a simple thing. I have broader goals.</i></p>

Participants operating with later action logics—Phyllis (Strategist) and John (Alchemist), for example,—also had a well-developed understanding of the problem and/or solution. However, both were more concerned with what they saw as the long-term process of redefining ideas about how to help, a process that involved the feedback

and input of others. Compared to those exhibiting a middle-level action logic, i.e., individuals who actively sought to perfect their beliefs, Phyllis and John acted on the assumption that their beliefs, however sophisticated, would always be incomplete. They experienced their beliefs as temporary hypotheses that should be made publically available for discussion rather than held as static expressions of truth. Their explanations of social problems or solutions also tended to be complex and nuanced and allowed for the interplay of people, processes, and time. For example, both John and Phyllis discussed their actions within the broader context of philanthropy and the national socio-political environment and both paid attention to how their work was related to, informed by, and could potentially influence the work of others. They actively pursued outcomes, but the learning of team members was held as an equally important and a profoundly more complex outcome that could not be extricated from the more tangible (and traditionally discussed) program outcomes. Additionally, all participants classified as exhibiting Strategists and Alchemist action logics described their philanthropic work in layers. These layers included paying attention to national, regional, local, organizational, and individual level experiences. Though their relationships to those with whom they interacted were deeply personal, and each paid thoughtful attention to individuals, Phyllis and John conceptualized their work more thematically than personally. A selection of quotes which illustrate at least some of these ideas are presented in Table 28.

Table 28

Quote matrix illustrating structure of beliefs at later action logics

Participant	Sample Quotes
Phyllis	<p>I really do focus on strategy, and I'm enjoying also working directly, even more closely with [ED/CEO] on operational improvements. I tend to look at everything as a general management strategic clarity opportunity.</p> <p>...</p> <p><i>I think people really need a clear destination. They need permission to try things. They need to socialize the concept with other people to make sure that we're not going off on some wild tangent; then, hopefully, their own excitement is such that it'll carry it forward.</i></p> <p>...</p> <p><i>I hop around in a lot of different sectors, I think I'm able to cross boundaries more easily than the typical funder.</i></p> <p>...</p> <p><i>Trust is based on personal relationships and familiarity, so our goal over the last 2 years has been to bring people together around common issues who don't normally come in contact with each other.</i></p>
John	<p>JAJ: <i>What's exciting to you about this? There's so many different things you have got here, but what is the most exciting?</i></p> <p>John: <i>You see because my idea is because this year we give away two and a quarter million dollars. If we're giving away two and a quarter million dollars, that's nice. That's impactful. We're not going to say that's nothing. But, if the education we provide and the training we provide and the support we provide and the consulting services we provide also are impactful, I want to know that. I want to know how it impacts the cause. See, I don't know if we went over this before. Here is one of the biggest problems I see with funders is they come in and they say, "Okay, I'm going to give you a million dollars for your program."</i></p> <p><i>Everybody goes, "Wow, we're getting a million dollars for our program." They take the million dollars and they put it in the program. Okay, that's nice but they don't seemed concerned, often times, of staff development or training. What we think, this is one of the things we've heard from people is we're really focused on the staff of all organizations. We provide them with lots of trainings, set one of our EDs to Stanford's program and things like that. If we can show an impact now and say this \$100,000 that we've reserved over here for training is impacting these organizations in the sector in this way. That really shows a bigger impact than \$100,000. That \$100,000 when</i></p>

Participant	Sample Quotes
	<p><i>invested was probably seven and a half million. If we can show this training impact as being substantial, when we talk to funders [who] donate [though] foundations, we can say to them, "Hold it, guys. You're giving away ...say, like a million dollars. Why not earmark ten percent of that to staff development and do a training that you could bring more people into?" A meaningful training. And how do we say it's meaningful? Well, we look at the sector and see what they need. Fundraising, management, whatever it is and we're giving that training to these people because that is a better use of dollar than giving the money for the program.</i></p>

As evidenced in the quotes provided, individuals classified in later action logics demonstrated a more complex, nuanced experience of the problem they were trying to address and of the processes involved in crafting solutions. Their answers to interview questions, consistent with developmental theory, tended to be longer and much more detailed. These answers also tended to interweave and integrate seemingly discrete topics, demonstrating the complexity of thought.

Mapping Participants' Structure of Thought to a Logic Model Framework

In analyzing the structure of beliefs across action logics, it became evident that persons exhibiting different action logics tended to focus their attention on activities at different levels of the organization. I observed that these variations aligned, to a great extent, with the structure of activities in a traditional program logic model (see, for example, W.K. Kellogg Foundation, 2004). The logic model, also called a program theory, was first introduced in the 1970s and has grown in popularity. The simplicity of the logic model makes it an ideal tool for nonprofits, funders, and government agencies to explain how and why a particular program intervention is likely to work. Specifically, logic models explain how inputs (investments or resources) by the organization can turn into activities (events or actions) that yield outputs (direct products) which produce

outcomes (effects) that work toward a broader impact (mission). For example, an investment of nonprofit staff time and money (input) can allow a nonprofit to conduct a workshop (activity) that has outputs (number of people trained in financial literacy, for example) that leads to outcomes (changes in knowledge, attitude, skills or behavior) that, over time, contribute reducing poverty (mission).

I determined that mapping the data using a program logic model framework could serve to illustrate the subtle differences between what I have characterized here as the early, middle, and late action logics.

The logic model illustrates the relationship between each of its components and the end goal, or overarching vision. Table 29 presents how the data were mapped using a logic model framework.

Table 29

Mapping participants' focus to a logic model framework

Action Logic	Focus of Participants	Corresponding Part of Logic Model
Early (Diplomat, Expert)	External output, staff	Inputs, Activities, Outputs
Middle (Achiever, Individualist)	External outcome	Short, medium, and long-term outcomes
Late (Strategist, Alchemist)	Overarching vision manifested through people and processes	Overarching vision as achieved through inputs, activities, outputs, and outcomes, and as it relates to large-scale change

As Table 29 demonstrates, most participants seemed to focus their philanthropic attention on one or more components of the logic model. Participants assessed at earlier action logics seemed to focus on inputs (staff, in particular), activities, and outputs. Participants of middle action logics seemed to focus on short, medium, and long-term

outcomes. Participants of later action logics spent a great deal of time discussing the overarching mission and vision, referring to all of the other parts of the logic model as part of achieving the vision. They also spent time discussing their assumptions and the broader socio-political influences inherent in the program but not captured in the traditional logic model framework.

To offer more detail, participants representing earlier action logics were concerned with the emotional relationships they had with individuals (nonprofits staff, clients, or fellow donors) and with the types of activities pursued. For example, Julieta, who served as the president for a mentoring organization, talked about the contract she developed with her clients. This contract spelled out what outputs each was responsible. Participants assessed at middle action logics were less likely to discuss activities and more likely to discuss outcomes; and they had well-defined ideas about what outcomes—short, medium, and long-term—they were choosing to pursue. For example, Richard described considering whether or not to join the board of directors of a local food bank. In the end, he decided he would only join the board if the mission of the organization was, as he said, “no one goes to sleep without a meal,” rather than to end hunger. He reasoned that the organization could succeed at making sure everybody in the area ate before bed, but would never actually achieve the broader goal of ending hunger. He preferred to stick with goals that were attainable, even if they were big goals. In contrast, participants at later action logics paid significant attention to the overarching vision of their work. For example, John spoke about working with others to raise the sophistication of both the nonprofit sector and the philanthropists who fund it. And Phyllis discussed a program she co-designed to build trust between individuals of the nonprofit, for-profit

and government sectors. These later-stage participants also spoke about inputs, activities, outputs, and outcomes as related to the overarching vision, and this overarching vision was almost always located in the broader socio-political context.

Conclusion

This study's finding that developmental level is related to one's convictions about philanthropy has myriad implications for the nonprofit sector, including nonprofit management, program effectiveness and board governance. It is worthy of future study. This finding also supports Rooke & Torbert's (1998, 2005) hypothesis that developmental stages influence leadership capacities, and it suggests that the linkage between developmental stage and leadership capacity may be as important for third sector work as it has been suggested to be in for-profit sector work.

Theme #2: Empathy: The Capacity and Desire to Walk in Another Person's Shoes

A second theme that emerged during the course of analysis involved participants having—or not having—empathy (i.e., to walk in another person's shoes, metaphorically speaking) and, if this capacity was evident, how the opportunity to exercise the capacity presented itself. In this study, the term other person typically refers to nonprofit clients, nonprofit staff, or other philanthropists.

As with the other themes discussed in this chapter, participants' were categorized into one of three groups—early, middle or late—according to the action logic they exhibited. A summary of data relating to what could be called empathy are presented in Table 30.

Table 30

Participants' expression of empathy

Action Logic	Expressions of empathy
Early (Diplomat, Expert)	Focused on physical and emotional needs of the person. Participant's actions were an attempt to alleviate suffering of others.
Middle (Achiever, Individualist)	May or may not maintain sense of distance from others. When they attempted to walk in another's shoes, participants' actions reflected an attempt to better understand themselves rather than the other person.
Late (Strategist, Alchemist)	Focused on mental and psychological experience of person. Participant's actions were either an attempt to increase capacity of the person or establish a human connection.

Participants assessed at early action logics demonstrated an eagerness to think about the experience of others and their discussion usually focused on the physical and emotional needs of the person they were trying to help. For example, Paula (Diplomat) discussed feeling sympathy for the nonprofit staff members working with philanthropists who attempted to push their ideas onto staff. Julieta (Expert) discussed the concrete needs of individuals—such as to learn the process of applying to college or to find money to pay an electricity bill—and tried to find immediate solutions (such as income subsidies) to problems such as poverty.

Participants assessed at middle action logics found ways, sometimes explicitly, sometimes more subtly, to distance themselves from others, and this experience was different for those assessed at an Achiever level versus an Individualist level. In the cases of Melissa (Achiever) and Joseph (Achiever), each seemed to maintain a strong distance between themselves and those they were trying to help. Joseph even went so far as to make up stories (for publicity purposes) of clients served when, presumably, he

could have learned about actual clients. Joseph did express the capacity to take on the perspective of others. For example, when discussing his current work for Impact Education (IE), he identified some of the reasons why some educators would choose not to participate in the group (such as having a different vision or finding the work too, as he described, “hard”); however, Joseph showed no signs of being interested in those reasons and how it might affect the future of the organization. Instead, he predicted that eventually naysayers would find themselves wanting to join the successful group. Both Joseph and Melissa maintained a distance between themselves and those they were trying to help. Instead, they focused their attention on organizational needs.

In comparison, Samantha (Achiever/Individualist) and Richard (Individualist) actively put themselves in situations where they interacted with the people they served. For example, Samantha’s family foundation was located in the heart of the community she was attempting to help, and Richard had recently begun a long-term mentoring relationship with a foster youth. Both Samantha and Richard described being fascinated by the opportunity to understand the perspective of others, and, true to developmental theory’s characterization of the Individualist, both of them used this as an opportunity to better understand themselves. For example, Richard talked about how, in the process of helping the foster youth, he had to redefine the concept of success for himself. Similarly, Samantha discussed learning about another’s experience of racism, and how revealing it was to compare another’s experience to her family’s more sheltered experience. While their behavior likely appears to their colleagues as other-oriented, for both Richard and Samantha, the experience of understanding another’s perspective was primarily a vehicle for self-exploration. In short, their postconventional explorations of the self as

experienced in relation to another were conducted for the purpose of improving their own psychological system.

Participants assessed as exhibiting later action logics, however, spent more time thinking about the mental and psychological experience of others. This was not done out of pity or a desire to remove suffering but, rather, with understanding and empathy for the experiences of others. For example, Kris described the need to be sensitive to philanthropists who found their cause through painful life experiences such as the illness or death of a loved one. She also described the need of new philanthropists to, as she said, “reinvent the wheel,” as they learned the craft of grantmaking. As was indicated earlier, all of the participants at later action logics—Stacey, Phyllis, Kris, and John—attended to the learning process of nonprofit staff and clients. These participants’ actions could be characterized as either an attempt to increase the capacity of the other person—to, as Stacey said, help them “think differently about their lives”—or to establish a human connection that reaffirmed the dignity and worth of the individual by, for example, buying food for a homeless man or a bra for a woman fleeing domestic violence. In other words, participants at later action logics were less concerned with the emotional or physical experience of the person, and more concerned with connecting to the humanness of the individual and to helping him or her choose how to react to a seemingly distressing situation.

These participants of later action logics also described the similarities between themselves and the persons they were helping and discussed the role of others or of chance in their financial success. Stacey, for example, said, “It’s a crap shoot that we were born [into a life of privilege in the United States]”, and John recounted that were it

not for the interventions of a few key adults, his life could have easily taken a different path. Perhaps Phyllis' response best expressed the paradox inherent in financial success when she said that she and her husband "know we've been lucky to be able to have what we've created."

In summary, participants' capacity and desire to adopt the perspective of others varied and those variations corresponded to action logics.

Theme #3: Development: Growth Edges

The third theme to be discussed in this cross-case analysis is the concept of development and, specifically, growth edges. A growth edge in regard to developmental theory is the brink at which one's current action logic becomes insufficient to meet the demands of a situation with which one is confronted, and thus, a new way of thinking is required; or, as the title of Kegan's (1994) book alludes, it is the place at which we are developmentally "in over our heads". Kegan has suggested that the mental demands of modern life, including relationships, parenting, and professional development, all exert demands on the minds of individuals; these demands, typically, require a higher level of operating than most individuals are yet capable of demonstrating. Using data from this study, I suggest in this section that philanthropy also exerts demands on individuals and that the act of philanthropy offers an opportunity for people to exercise higher levels of development than they might otherwise employ on a day-to-day basis. The operative term here is *also*. Developmental theorists suggest that such growth edges are always available to individuals; however, the sensitive nature of third sector work appears to make the phenomena of growth edges especially important for nonprofit scholars.

In this study, every participant provided evidence that a developmental growth edge had become available to them during the course of their philanthropic endeavors. These growth edges are presented in Table 31. For many of these participants, the growth edge represented an opportunity to explore, at least temporarily, the capacity of the next highest action logic. For example, Paula (Diplomat), offered evidence to suggest her philanthropic activities were providing her an opportunity to shift her thinking to an Expert-level action logic (i.e., beginning to prioritize efficiency and technical competence), but that her more Diplomat-oriented fears around offending people were preventing her from acting on those skills. Specifically, she said,

I just want to keep polishing my overall understanding of the work that I do in the organization. [But] I don't like to be this somebody who's coming in as a consultant saying "this is what needs to be done, bup, bup, bup."

In other cases, growth edge appeared to be an opportunity to refine their current action logic. For example, Stacey, who provided evidence that she was operating as a Strategist, described wanting to understand how to best manage the relationship between large-scale impact and smaller, on-the-ground activities. She also discussed the challenges of helping nonprofit leaders think differently—usually more broadly—about their work. Both of these represent a continued refinement and exploration of her already Strategist-oriented perspective.

Table 31

Participants' developmental growth edges

Participant	Assessed Action Logic	Growth Edge
Paula	Diplomat - Paula described her desire to promote harmony in relationships, even to the point of not telling people what she thought. When asked about her opinions, she frequently deferred to external sources.	Expert - Paula has the opportunity to learn how to “author” her own opinions even if others disagree or are uncomfortable.
Julieta	Expert - Julieta described struggling as the President of a Board of Directors to lead the team through a difficult management decision. She was hospitalized several times due to stress and, to date, remains unsure of why the board questioned her decisions.	Achiever - Julieta has the opportunity to look beyond rules when determining her course of action, and to incorporate diverse perspectives into her leadership strategy.
Joseph	Achiever - Joseph described an opportunity to work towards collective impact as a) an opportunity to finally achieve large-scale outcomes and, at the same time, b) being, “more of the same” in regard to his leadership style.	Individualist - Joseph has the opportunity to reflect upon the ways in which leadership is about more than just meeting outcomes, and the ways in which his focus on outcomes actually hinders his ability to meet his goals.
Melissa	Achiever - Melissa, who described her experience in the grantmaking organization as an opportunity to run a business and lead a team of people with diverse skills, also described reflecting upon her own perspective.	Individualist - Melissa has the opportunity to reflect upon the goals of the organization.
Samantha	Achiever / Individualist - Samantha described the process of redefining her ideas about social change, and her efforts to mobilize staff and volunteers toward her family’s goals.	Individualist - Samantha has the opportunity to reflect upon and redefine both her family’s goals and the ways in which she pursues these goals.
Richard	Individualist – Richard described his philanthropic endeavors as an opportunity to redefine how he thinks about the world and himself, and to learn how to lead leaders.	Richard, a somewhat emerging Individualist, is present for and aware of the growth opportunities within this action logic. Eventually, he has the opportunity to move beyond his own

Participant	Assessed Action Logic	Growth Edge
		ideas when working with clients and nonprofits.
Vanessa	Individualist - Vanessa described her painful experiences of wanting but being denied the opportunity to develop systems that would foster leadership throughout organizations.	Strategist – Vanessa has the opportunity to redefine how she thinks about her work, moving from a focus on what systems she can create toward a focus on how, in the process of creation, she can foster the development of others, including those who resist.
Stacey	Strategist - Stacey described wanting to understand how to best manage the relationship between large-scale impact and smaller, on-the-ground activities.	Stacey, a somewhat emerging Strategist, is present for and aware of the growth opportunities within this action logic.
Phyllis	Strategist - Phyllis described attending a conference which provided a new perspective on nonprofit program evaluation.	Alchemist – Phyllis is becoming aware of the growth opportunities at the Alchemist action logic. At the conference, she came to believe that the new developments in the field of evaluation would mean philanthropists should let go of their rigid perspective on outcomes and, instead, focus on being informed and intentional.
Kris	Alchemist - Kris described engaging with a community of entrepreneurs of all sectors. The relationships she developed through this community were teaching her how to think differently about possibility.	Kris is present for and aware of the growth opportunities within this action logic.
John	Alchemist - John described his approach to philanthropy as similar to a form of martial arts that is devoid of patterns but, instead, relies one’s attention to discern what action is next needed.	John is present for and aware of the growth opportunities within this action logic.

While every participant had experienced developmental growth edge, even if it was just a refinement of their current stage, participants varied in the extent to which they

a) were aware of this growth edge and b) were electing to embrace the growth opportunity. Table 32 provides a data-based assessment of growth edges as experienced

by participants. In the analysis, participants were characterized as aware of a growth edge if they considered it as an opportunity to grow rather than as an inconvenient challenge or problem(s) to solve. Individuals were characterized as embracing (or active) in their growth process if they described ways in which they were actively adjusting their thoughts or behavior in light of the growth edge.

Table 32

Participants awareness and participation in their personal growth edges

Participant	Assessed Action Logic (Growth Edge Action Logic)	Participant was Aware of Growth Edge	Participant was Active in the Growth Process
EARLY ACTION LOGICS			
Paula	Diplomat (Expert)	No	No
Julieta	Expert (Achiever)	No	No
MIDDLE ACTION LOGICS			
Joseph	Achiever (Individualist)	No	No
Melissa	Achiever (Individualist)	No	No
Samantha	Achiever / Individualist (Individualist)	Yes in some areas of her life; No in other areas	Yes in some areas (but seemed unclear of how to proceed); No in other areas
Richard	Individualist (Individualist)	Yes	Yes
Vanessa	Individualist (Strategist)	Yes	Yes but seemed unclear of how to proceed.
LATE ACTION LOGICS			
Stacey	Strategist (Strategist)	Yes	Yes
Phyllis	Strategist (Alchemist)	Yes	Yes
Kris	Alchemist (Alchemist)	Yes	Yes
John	Alchemist (Alchemist)	Yes	Yes

The cross-case analysis indicated that, consistent with developmental theory, participants' developmental levels played a role in how, and even whether, they consciously addressed their growth edge. Specifically, individuals of earlier action logics

were largely unaware of their growth edge, and participants at the Individualist, Strategist, and Alchemist levels tended to be both more conscious of and active participants in addressing their growth edge. Participants at earlier levels often characterized their growth edge as an inconvenient challenge or a baffling problem. At later stages—and with the exception of Vanessa who was unclear about how to approach her growth—participants seemed to relish the opportunity to address new challenges and grow, in the process. The opportunity to promote their own growth, in fact, seemed to be a significant part of why they enjoyed their work in philanthropy. Consider, for example, the following comments made by Stacey when discussing what she would like to learn: “What I really would like to do is understand [the big picture of change].” She said that if you are responsible for broad impact (such as changing a culture), you can easily get overwhelmed and not move forward. However she also recognized that if an organization just focuses on the small scale, “You’re going to change fifty people, or a hundred people, or even five hundred people, but you’re not going to make change in the community unless you can get up higher.” How do you act in ways that are small enough to make a difference but large enough to have an impact? Pondering these types of issues—the types of issues a Strategist might ponder—is fun for her. It stretches her thinking and allows her to engage in generative dialogue with others. She said, “I could do [this] or I could knit. This is more fun.”

The presence of growth edges in participants’ philanthropy may be evidence that corroborates an idea previously discussed: the notion that philanthropy may be a place where donors are more likely to exercise their optimal action logic or, in other words, stretch the edges of their developmental capacity. Several participants (Melissa,

Samantha, & Vanessa), for example, appeared to be operating at a higher developmental level in their philanthropic activities than in their professional life. The same phenomenon was seen in a two of three pilot interviews conducted before the start of the study being reported here. Possible reasons for this tendency to employ a higher-level action logic in philanthropic work were discussed in the Chapter 9. They included the opportunity presented by philanthropy to wrestle with the boundaries of “what is me” and “what is not me,” an opportunity to ponder incredibly complex issues, and the safety of a dominant narrative that conceptualizes philanthropists as doers of good.

Theme #4: Healing: Recoverable Loss

Recoverable loss, a term coined by Kegan (1982, p. 129), is the normal process of separation and recovery necessary for individuals to construct increasingly complex understandings of themselves and others. In order to construct meaning at the next highest level of understanding, individuals must separate from the understandings constructed in the current stage. This can include separating from people with whom the relationship reflects the stage one is attempting to grow beyond. Eventually, individuals construct a new understanding of themselves and reengage in relationships. For example, toddlers and teenagers push their parents away in order to develop their own identities and, once that identity is established, return back to the parents and reestablish the connection. As the new identity becomes secure, there is no longer a need for the toddler or teenager to protest the old identity by pushing away the parents. The process of returning to the relationship is the process of recovering the temporary loss of that relationship, a loss which was necessary for the new identity to form. If the individual does not successfully return to the relationship, the individual will likely not find balance

in his or her new stage of development and, instead, may find him- or herself repeatedly experiencing similar loss in situations or relationships until the person has recovered from the sense of loss.

The concepts of developmental growth edges and recoverable loss are distinct yet interrelated; developmental growth can become stymied when opportunities to heal recoverable loss are unaddressed. In some cases, one of which will be described in this section, the growth process of the philanthropist can parallel the growth process of the clients they are attempting to serve.

As already noted, the presence of unaddressed recoverable loss can prevent an individual from progressing in their development. This appeared to be the case for two of the participants, Joseph and Samantha. In both cases, their approach to philanthropy appeared to have been shaped by their relationships to their late fathers.

During one of the interviews, Joseph shared a comment made by his father approximately 45 years prior to the interview. The comment appears to have shaped Joseph both professionally and, in turn, philanthropically. When Joseph dropped out of law school, his father said to him, “I guess I’ll hire you. Nobody else will.” According to Joseph, he spent the next 30 years working 100 hours a week to demonstrate his professional worth and to prove his father wrong. Joseph’s professional worth became synonymous with ideas of leveraging resources to achieve outcomes. This was evident in his career as a real estate developer and, eventually, in his work founding three nonprofits and helping to establish a chapter of Social Venture Partners. His philanthropy—which is now focused on collective impact in the area of education—continues to be outcomes-oriented. Joseph’s way of thinking about outcomes has crystalized over the years and

become inflexible. I wondered if this inflexibility was related to both a continued need to prove his worth and the narrow worth-defining criteria he adopted because of his father's potent influence. Viewed through the theoretical lens provided by the concept of recoverable loss, Joseph appeared to be still in the process of forming his own identity and, consequently, frozen in the push-parents-away-stage which, ironically in this case, included the adoption of his father's ideals.

As discussed in the theory-based analysis of the data generated through interviewing Samantha, Samantha's approach to philanthropy is bifurcated. When working in the foundation started by her father, she approaches her work with a business-like focus on achieving the family's goals. However, when discussing her work in the foundation she started with her husband, Samantha discussed her excitement with redefining her work and her goals. This bifurcation is quite possibly the byproduct of feeling stuck behind her father's legacy and within her father's goals when working within her father's foundation. Samantha described being afraid of letting her father down but, paradoxically, the data she presented indicated that if she were to redefine her approach to those goals she would perhaps be more likely to actually achieve the goals. Similar to Joseph, Samantha's more Achiever-like thinking in the context of her father's Foundation seems to reflect her father's ideas more than her own. Indeed, when talking about the foundation she started with her husband, she demonstrated the capacity and desire to think at a developmentally more sophisticated level. It is possible that the process of separating from the parent is still incomplete and it is magnified by Samantha's role in leading her father's Foundation. This represents opportunity for

recoverable loss to be recovered or, in other words, for Samantha to solidify the new identity and reestablish a relationship with her father.

For both Joseph and Samantha, relationships with their respective fathers seemed to affect their philanthropic activities in ways that hindered the kind of breakthrough insight that would allow them to have an even greater impact. Healing these personal wounds could, potentially, allow them to become better philanthropists. It is likely that recoverable loss also plays a role in the challenges faced by Paula, a seeming life-long Diplomat, and Vanessa, who was struggling to move from an Individualist to a Strategist orientation; however, specific data did not emerge during the interviews and thus their stories are not included in this section.

Parallel Processing

There is an important parallel process occurring through Samantha's continuing work with her father's foundation. Through this work, Samantha has an opportunity to reconstruct her identity in relation to her father. At the same time, and the residents whom she serves—many of whom have suffered colonial abuses both in the U.S. and in their home countries—have an opportunity to reconstruct their identity in relation to persons in positions of power and privilege. For both Samantha and those she is attempting to serve, developmental theory would suggest that there must be a pushing away from the old relationships in order to form a new identity and then, once that identity is sufficiently formed, there can be a returning anew to the relationship. This pushing away might be what is taking place when Samantha described receiving criticism from the residents and when she recounted the instances when residents did not fully take advantage of the opportunities offered by the Foundation. These examples are frustrating

to Samantha, who wants to see them succeed; however, it may be that the residents cannot fully embrace the relationship (i.e., the help) without first rejecting it. Samantha and the residents are, thus, experiencing a very similar growth pattern in that they are trying to step into their own full identity and out of the shadow of an authority.

In addition to being parallel, these processes might also be interdependent. Samantha's personal growth edge, as was suggested in a previous section, is to reflect upon and redefine both her family's goals and the ways in which she pursues these goals. If she establishes her own identity which, according to my assessment, means adopting an Individualist and, eventually, Strategist frame, she will have the opportunity to redefine the Foundation's activities in such a way that supports and encourages the development of the residents. In this way, the resident's growth—and the outcomes she so desires—are possible through her own continued growth.

Parallel processes, introduced by Searles (1955), are well-documented in the psychology literature (see, for example, McNeill & Worthen, 1989) typically in regard to the clinician/patient relationship or in psychotherapy supervision relationships. To my knowledge, parallel processing in regard to donors or staff members has not been documented in the nonprofit literature; however, it is possible that this type of parallel processing between various actors in the nonprofit sector occurs routinely. In addition to being parallel, data from this project also suggest that the growth processes of donors and clients may be interdependent. These findings have implications for the nonprofit sector and are worthy of future study.

Conclusion

This section of the chapter has discussed four themes that emerged during a cross-case analysis. For the purposes of analysis and discussion, it was helpful to group participants according to early, middle, and late action logics. Analyzing the data in this way helped demonstrate how participants' structured their beliefs about philanthropy. Furthermore, participants' desire and capacity to take on the perspective of others emerged as an important developmentally based factor in the cases. Data indicate that both the structure of beliefs and the desire or capacity to take on the perspective of others varied by action logic. These variations were consistent with developmental theory and have important implications for the nonprofit sector because it suggests that individuals at different developmental levels will engage quite differently as philanthropists, board members, and staff. The third theme discussed was the presence of a developmental growth edge accessed in every participants' experience of philanthropy. In some cases, this growth edge represented the next highest action logic. In other cases, the growth edge reflected an increasing complexity of the current action logic. Finally, for a few participants, evidence of recoverable loss appeared to hinder the individual's continued development.

Combined, these themes suggest that philanthropists' developmental trajectories are an important component in individuals' philanthropic work. They affect how donors approach philanthropy, how they engage with others, including those who are disenfranchised, and, perhaps most strikingly, invite them to explore more complex constructions of the world. Each of the themes that were identified have implications for philanthropy, for nonprofit programming, and for nonprofit organizational development,

and all are worthy of future study. These implications and the further research that is called for will be discussed in detail in this dissertation's final chapter.

CHAPTER 11:

DISCUSSION

This section begins with an overview of key findings from the research, including a discussion of an overarching theme that emerged during the course of this project. Then, the focus shifts to issues related to the two data-collection techniques that arose during the study, followed by discussions of (a) the study's primary contributions to the literature and (b) its implications for practice, including feedback about some of the study's results from actual practitioners. The chapter concludes with a discussion of the limitations to the study and implications for future research.

Overview of Findings

The study began with a simple overarching question: What influences the thinking and decision processes of donors when they engage in philanthropy? To answer this question, the study employed a mixed-methods research design that drew from developmental psychology, specifically the theories of William Torbert (2013, 2004; Rooke & Torbert 1998, 2005) and Robert Kegan (1982, 1994). Eleven case studies and a cross-case analysis were completed as part of this study.

To my knowledge, this was first study to use contemporary (i.e., post-Erikson) developmental theory to study the process of philanthropy and philanthropic decision making. In fact, my explorations of the literature suggest that this was one of the first studies to use a developmental theory perspective in the emerging nonprofit/philanthropic leadership field. Consequently, this was, quite literally, first and foremost, an exploratory study.

Berkeley sociologist Kristin Lurker has noted that in exploratory research, “the research question often reveals itself at the end, or close to the end, of the research” (p. 61). Therefore, the study’s three a priori research questions were intentionally kept as broad as possible. They were as follows:

Research Question #1: What are the action logics of the donors included in the study?

Research Question #2: How, if at all, does a donor’s action logic appear to influence philanthropic decisions?

Research Question #3: To what extent does a donor seek feedback and/or engage in self-reflection about his/her philanthropic practices, and does the answer to this question appear to be related to a donor’s action logic?

Research Question #1

To answer the first research question, participants’ action logics were assessed in two ways. First, I used a modified Subject-Object interview technique (Lahey, Souvaine, Kegan, Goodman, & Felix, 2011) to reach my own hypothesis about the action logic/developmental level exhibited by an interviewee. Second, participants were given the Global Leadership Profile (GLP) which was scored by Action Inquiry Associates. The GLP, the psychometric properties of which was discussed in Chapter 2, was scored using Hy and Loevinger’s (1996) manual for the early stages of development and Cook-Greuter’s (1999) manual for the later stages. The results of these two quite different data collection and analysis processes were presented and compared in Chapter 9 and have been reproduced here in Table 33.

Table 33

Results of GLP and interview assessments

Participant	Interview Assessment	GLP Assessment	Gap	Higher
Paula	Diplomat	Early Individualist	3	GLP
Julieta	Expert	Strategist	3	GLP
Joseph	Achiever	Achiever	0	
Melissa	Late Achiever	Individualist	1	GLP
Samantha	Achiever / Individualist	Achiever	0	
Richard	Individualist	Individualist	0	
Vanessa	Late Individualist	Late Achiever	1	Interview
Stacey	Strategist	Individualist	1	Interview
Phyllis	Strategist	Individualist	1	Interview
Kris	Alchemist	Individualist	2	Interview
John	Alchemist	Late Achiever	3	Interview
AVERAGE			1.36	

Three of the eleven participants received the same assessment from the interview data as from the GLP. Eight of the eleven participants had discrepancies of one or more action logic. Five possible reasons for these discrepancies were discussed in Chapter 9. The majority of the discrepancies could be explained by one or more of the reasons presented in Chapter 9; however, there was a discrepancy of three action logics for each of three of the participants. This large of a discrepancy is likely due to error introduced in one or both of the assessments. Torbert had an opportunity to review his team's assessments for two of these individuals (Paula and John) and concluded that their original assessment was accurate. I invited three fellow researchers to audit my interview transcripts and evaluate the accuracy of my analysis of the three cases (Paula, Julieta, and John). Upon reviewing the data and my analysis, the auditors' assessments were consistent with my assessments.

Research Question #2

The second research question—how, if at all, does a donor’s action logic appear to influence philanthropic decisions?—was answered by analyzing data generated during two interviews conducted with each participant. The first interview with each participant generated data about the person’s life experiences as it related to philanthropy, and the second interview generated data about current philanthropic activities and, through a modified Subject-Object interview process (Lahey, Souvaine, Kegan, Goodman, & Felix, 2011), generated data about that person’s action logic. The participant’s overall story was presented as narrative analyses (Polkinghorne, 1995), i.e. narrative data configured as a more-or-less chronological story.¹³ The relationship between how donors thought and what they did was analyzed and presented in a second analysis that coded the data using categories taken from Torbert’s stage theory of development.

For every participant in this study, evidence suggested that the participant’s action logic was reflected in their philanthropy. Even participants who were engaged in similar philanthropic activities approached these activities in radically different ways, depending on the action logics that they embraced.

For example, both Joseph (Achiever) and Stacey (Strategist) are working on collective impact initiatives in the education field. As an outcome oriented Achiever, Joseph sees his work as an opportunity to finally accomplish the outcomes he could not have accomplished with one organization alone. He is glad to align with a group to work toward a goal, and he is willing to let those who have concerns about the process back

¹³ Developmental theory suggests that age is not directly correlated to developmental level. This was, in fact, the case for the participants in the study. The correlation between participants’ age and developmental level as measured by the interview data yielded an r of 0.0344 with significance at the 0.91 level. There was also no significant correlation between participants’ age and developmental level as measured by the GLP assessment ($r = -.0508$ at the .11 significance level).

off. He believes the group will be successful and the naysayers will, eventually, change their minds about the collective effort.

On the other hand, consistent with the Strategist action logic she exhibits in a range of situations, Stacey's work on a collective impact initiative in the education field is focused more on process than outcomes. She thinks about the types of transformations and changes that teachers, principals, nonprofits, and students will have to experience in order to collaborate effectively and reach collaboration-oriented outcomes; and Stacey wants to learn how to lead people through those changes toward the goal. In short, for Stacey, the outcomes are not possible without the learning process and, unlike Achiever Joseph, it is the process of leading others through change initiatives that gets most of Strategist Stacey's attention.

The very different ways Joseph and Stacey approach similar work almost certainly relates to their different action logics. This same relationship could be seen in the stories of every donor.

Research Question #3

Finally, this study asked: To what extent does a donor seek feedback and/or engage in self-reflection about his/her philanthropic practices, and is the answer to this question related to a donor's action logic? Data to answer this question were generated in two ways. First, participants—and particularly later-stage participants—naturally inserted comments about their own learning processes at different points throughout the two interviews. Second, toward the end of the second interview, I explicitly asked donors what they wanted to learn in philanthropy.

I reviewed these data and discovered two things. First, donors of different action logics sought feedback and engaged in self-reflection in very different ways. This was described in the theory-based analysis and in the cross-case analysis presented in Chapter 10. Second, each participant had a growth edge (i.e., learning opportunity) related to the development of her or his action logic. Donors' awareness of their developmental growth opportunity was also related to their action logic. This analysis was also presented in Chapter 10.

By the time I had completed the interviews and was writing the analysis, the second half of this question—to what extent is this question related to the a donor's action logic—was clear. In every case, the ways in which donors sought feedback and did (or did not) engage in self-reflection was related to their action logics. It should be noted that donors at early or middle action logics used self-reflection and feedback to confirm or maintain the stability of their interpretation of the world. Donors at later action logics used self-reflection and feedback to challenge their assumptions and help them to better understand the inner worlds of others. This finding is consistent with developmental theory.

Overarching Theme

Four themes were presented in the cross-case analysis. First, donors structured their beliefs about philanthropy differently, and this structuring varied by and corresponded to the different action logics articulated by developmental theory. Second, donors had different capacities and levels of desire to see the world through another person's eyes, and this, too, varied by action logic. Third, every single participant had a developmental growth edge that was available to them in their philanthropic work, and

donors of different action logics responded differently to their growth edge. Finally, in some cases, issues of recoverable loss¹⁴ stood between the donor and their next stage of development. A full discussion of these themes is presented in the cross-case analysis; however, they are important to mention here because, in reviewing these themes, one overarching idea emerged.

The overarching theme that emerged from the research, in general, and the cross-case analysis, in particular, is that the dominant narrative in the nonprofit sector is insufficient. The current narrative suggests that the philanthropist is the do-gooder who helps another, usually a client or patient, to grow. Clients change and philanthropists help the change process along, or so the storyline goes. This study's data suggest that, through their work in the nonprofit sector, philanthropists may have as much of an opportunity to grow as the clients they seek to help. In fact, each one of participants had a developmental growth edge—a space where their current level of thinking was insufficient to address the situations they faced.

Furthermore, it appears that it is not just the donors who have opportunities to grow. As discussed by participants assessed at the Strategist or Alchemist levels, philanthropists can also help nonprofit staff members and clients grow. The support certain philanthropists in this study provided to nonprofit staff members included technical assistance, in many cases, but also included personal mentorship as staff members mediated the relationship between personal and organizational growth. For

¹⁴ Recoverable loss, a term coined by Kegan (1982, p. 129), is the normal process of separation and recovery necessary for individuals to construct increasingly complex understandings of themselves and others. In order to construct the next highest level of understanding, individuals must separate from the understandings constructed in the current stage. This can include separating from people with whom the relationship reflects the self of the stage one is attempting to grow beyond. The process of returning to the relationship is the process of recovering the temporary loss of that relationship, a loss which was necessary for the new identity to form.

example, Stacey discussed several examples of well-respected staff members who, she believed, were purposefully keeping their organizations small. As she said about the children's choir, "Well, the managing director just loves this role and she won't let the choir grow because she can hold it like this in her hands. That's all that she can hold." Stacey is working to educate the staff—recognizing, of course, the role ego can play in this type of work—and to develop the board. Her goals, in essence, seem to be to help high-potential, smaller nonprofits scale up by moving from person-based leadership to process-based leadership. For her, this includes recognizing the personal development of the individuals involved. Phyllis, Kris, and John all shared similar ideas.

To summarize, data from this study suggest that the dominant narrative in the nonprofit sector falls short. Yes, clients do have an opportunity to grow; however, there is also growth opportunity available for donors and staff. These growth opportunities are intertwined with or, in at least one case, parallel to the growth processes of nonprofit clients.

Instrument and Methodological Considerations

This section will discuss several considerations related to the interview procedures and assessment instrument used in this study. Other methodological issues that arose during the course of this study will be considered, as well.

Instrument and Interview Considerations

This mixed-methods study employed two developmental assessment procedures representing two different research methodologies. First, participants completed two interviews, one of which followed a modified Subject-Object interview protocol (Lahey, Souvaine, Kegan, Goodman, & Felix, 2011). Second, participants completed the 30-item

Global Leadership Profile developed by William Torbert and administered and scored by Action Inquiry Associates (AIA).

The use of two data collection and analysis techniques served two purposes. First, the use of two instruments offered an important opportunity for triangulation. The triangulation procedure used here was, as Mathison (1998) suggested for the use of triangulation procedures generally, not a search for consistency but, rather, an attempt to gather “more and better evidence from which researchers can construct meaningful propositions about the social world” (p. 15). Among other things, the triangulation effort in this study suggested a weakness in the study of stage theory in general: If individuals operate out of developmental range and not a specific stage, how can researchers expect that any one instrument’s assessment is sufficient?

The use of two techniques also served a secondary purpose: The use of the GLP provided an opportunity to challenge the categorizing I did based on the qualitative interview data and an opportunity to critique the relatively new GLP. As described in Chapter 2, the GLP was developed based on the Leadership Development Profile which, in turn, was based Jane Loevinger’s Washington University Sentence Completion Test (WUSCT). Scoring procedures were based on the WUSCT’s second manual (Hy & Loevinger, 1996) for early stages and, for later stages, Cook-Greuter’s 1999 dissertation. As a newer test based on previously validated instruments, it was likely that the GLP was psychometrically sound; however, little research related to the new instrument’s psychometric support had been done at the time this study was designed and conducted. Consequently, this study can be used to assess the concurrent validity of the instrument.

Given that the GLP results were completely consistent with the assessments based on the subject-object interview data in three of the eleven cases, that there was one action logic difference in five other cases, and that modest differences are quite possibly attributable to individuals' developmental ranges (i.e., optimal, functional, and fallback action logics), the results of this study could be viewed as supporting more than challenging the validity of the GLP. However, discrepancies of three levels of action logics were present for three of the participants. The interview data and ensuing analysis for these participants was subject to a research audit, the results of which were consistent with the results from the interview. It is unlikely that a discrepancy of three action logics could be explained simply by invoking the notion of contextual variation. Thus, it is reasonable to conclude that the GLP's assessment may be problematic and, certainly requires further study before it can be used in research to assess individuals' developmental levels without triangulation.

Part of that study undoubtedly should focus on the assumption that what Loevinger & Wessler (1970) and Hy & Loevinger (1996) refer to as a psychometric approach to assessing developmental levels (i.e., simply adding together atomized data bits of data) is preferable—or should at least precede—a more clinical approach (which entails interpreting data holistically or hermeneutically). This study certainly challenges that assumption and suggests that the psychometric approach may influence the clinical rating.

The larger issue, however, may be the overly static nature of developmental assessments in general, including the GLP assessment. As discussed in Chapter 2, developmental theorists agree that development is a dynamic, not static process.

Individuals do not move in a decidedly linear fashion first from one stage, then, onto another. Instead, normally there is a “gradual unfolding” (Lahey, Souvaine, Kegan, Goodman, & Felix, 2011, p. 25) during which individuals can operate out of more than one action logic, especially during times of transition between stages. Individuals can also operate differently in different contexts, suggesting the existence of what some theorists would call a developmental range. Different theorists characterize this range differently but, overall, it can include a primary action logic, an optimal (or later) action logic, and a fallback action logic (see, for example, Fischer & Pruyne, 2003; Livesay, 2013; Torbert, 2004). Kegan would argue that this developmental range also includes issues of recoverable loss, his term for loss experienced at previous stages which must be revisited at later stages¹⁵ (Kegan, 1982, 1994). Given theorists’ complex understanding of the dynamics of stage development, how can researchers expect one tool—any tool—to fully capture and explain this phenomena? At least the interview procedures used in this study—procedures that, I must admit, did not deal adequately with such things as recoverable loss and the notion of a developmental range—did reveal that certain participants (e.g., Melissa, Samantha, and Vanessa) exhibited thinking and acting that could be coded as reflecting more than one developmental level, i. e. more than one action logic.

The issues raised above are important for researchers to consider and humbling in light of the initial goals of this study. It is likely that interview-based assessments, which

¹⁵ Recoverable loss, a term coined by Kegan (1982, p. 129), is the normal process of separation and recovery necessary for individuals to construct increasingly complex understandings of themselves and others. In order to construct the next highest level of understanding, individuals must separate from the understandings constructed in the current stage. This can include separating from people with whom the relationship reflects the self of the stage one is attempting to grow beyond. The process of returning to the relationship is the process of recovering the temporary loss of that relationship, a loss which was necessary for the new identity to form.

offer researchers an extended opportunity to interact with participants and which yield more detailed and nuanced data, are more conducive to accurate assessments than sentence completion tests such as the GLP. At least for the purpose of this study, interview-based assessments seemed to be the more effective method and, in particular, more effective for postconventional participants.

Interviews generated a wealth of data about the content of the participants' philanthropic work and, through careful probing based on the Subject-Object interview protocol, also generated data about participants' developmental level (and, in some cases, levels). But even interview-based assessments have limitations which must be considered. Creators of the Subject-Object Interview have suggested that an interview-based assessment is "a snapshot capturing a moment of an ongoing process" (Lahey, Souvaine, Kegan, Goodman, & Felix, 2011, p. 25). If the interview had covered slightly different topics, such as the person's relationship with his or her spouse or parents, a different view of their level of development may have emerged.

With deep humility I, too, recognize that the assessments presented in the theory-based analysis are but snapshots. They are, however, approximations of the thinking and decision making that supports participants' philanthropic work and, as such, can provide insight into how developmental stages affect a person's philanthropy.

Methodological Considerations: Unexpected Data

The methodology of the study also yielded two unexpected forms of data. These forms emerged during the member checking process and through processing my reactions to interviewees. In both cases, these unexpected pieces of data were used to reevaluate assessments made with interview data.

Member checking. First, the member checking process provided additional data that was used to reevaluate and, ultimately, corroborate my assessments of participants' action logic. As was described in Chapter 9, the manner in which participants responded to their narrative analysis was consistent with their action logic. For example, Paula—assessed as a Diplomat—was concerned about how others would feel if they recognized her story in print. When I probed, she did not have a specific problem she was worried about but, in general, wanted to protect others' feelings in the event her identity was discovered. This concern is consistent with a Diplomat action logic. Member checking, therefore, served an unexpected purpose: it was an opportunity to gather more—and, at times, exceedingly revealing—data about participants.

The interviewer's reaction. An additional source of data appeared during the interview process: my reactions to the interviewees. During interviews with four participants I found myself feeling or reacting in ways that surprised me. As I became aware of my reactions, I began to see how these reactions were a form of data that could help me better assess interviewees.

One example of this occurred with Paula, who I assessed as a Diplomat. In general, when interviewees asked me questions related to whatever topic they were discussing, I deflected the question back onto them. This deflection allowed the conversation to remain focused on the interviewee rather than on me, the interviewer. However, I noticed that with Paula, on several occasions, I answered rather than redirected her questions. In other words, I took up the role of the expert. Here is an excerpt from the transcript:

Paula: [I have been in philanthropy for] seven years and so it was a slow process, and I'm feeling more confident now just as the years go by but it's ... I mean the [nonprofit education M.A.] program [at the university] you...[were] in, I think that would be a really valuable experience for me to do it here.

JAJ: Oh yeah, definitely.

Paula: But I'm not sure, I don't know why people like to do that but I mean that's something that I feel like that would prepare me for the work.

JAJ: We do have people that have private foundations that go to the master's program just to learn all the basics of the non-profit administration piece and the leadership ...

Instead of saying, "Oh yeah, definitely," I should have asked Paula what, specifically, would be valuable about that experience for her. This redirection of her question would have, likely, generated additional data related to her developmental level. When I realized that I had answered rather than deflected the question, my first reaction was a sense of failure as an interviewer. My sense of failure dissipated when, upon analyzing the transcript, it became evident that my reaction was actually valuable data. Paula repeatedly shared examples of times when she had invited others, mostly friends or other philanthropists, to play the role of the expert, a role she clearly avoided stepping into herself. My reaction (i.e., stepping into the role of the expert and answering her questions) offered valuable data that, in this case, confirmed my assessment of Paula as a Diplomat. An Expert or Achiever, for example, would have neither invited nor tolerated

an interviewer stepping into the role of the expert; it would only be acceptable to someone operating out of a Diplomat logic.

Another, similar, experience happened with Vanessa. From the moment we started talking I found myself feeling self-conscious about the research project overall. Beginning with our initial phone call, Vanessa made suggestions about aspects of philanthropy she assumed I had not considered, and it seemed as if she had an opinion about how I was approaching the work. Some of these suggestions were overt (i.e., “You probably haven’t thought of this, but...”) and some were more covert (i.e., “How are you defining philanthropy?”). These sorts of comments and questions were especially prominent during the first interview during which I felt like she was taking on the role of the consultant to my research project. Even though I knew the study’s methodology had sufficiently addressed her concerns, my initial reaction was a sense of inadequacy; it seemed as if my research participant felt she knew more than I did about my own project. However, as with Paula, it quickly became clear that my feelings and, of course, her behavior, were additional data which helped to form my assessment of Vanessa as an Individualist.

Vanessa’s self-authored ideas—including her intimation that I probably had not thought as broadly as she in regard to how philanthropy could be defined—are evidence that she is, at the very least, operating out of an Achiever action logic. Furthermore, both the broad, layered way she defined philanthropy and the manner through which she conveyed her ideas were also consistent with an Individualist action logic. My reaction to Vanessa made sense given what has been presented elsewhere in this document: Vanessa’s focus is on the redefining of her ideas and not on helping others to redefine

their thinking. Vanessa's growth opportunity, therefore, is to learn the Strategist-oriented lesson of how to view others' learning process as a primary goal rather than as an impediment to achieving the vision she imagines.

My reactions were subtle and, likely, not noticeable to either the interviewees or to another researcher who might have witnessed what was going on. For example, the auditors who reviewed Paula's transcripts did not report any problems nor did they suggest any bias had been introduced by me as the researcher. These experiences, however, provided unexpected yet valuable data. The data of my own reactions is similar to what is described in the psychology literature as countertransference (see, for example, Racker, 1975). Countertransference, in its broadest sense, refers to the emotions and reactions therapists have about their clients. When therapists are aware of these experiences, they can serve as valuable points of data that can inform both the therapist's relationship with the client and the therapist's treatment plan. I, of course, am not a therapist nor were the interviews designed to serve as therapy; however, participants of the Subject-Object interview often feel like they have had a deep, therapeutic learning experience (Lahey, Souvaine, Kegan, Goodman, & Felix, 2011). Therefore, it is not surprising that I, as an interviewer, might have strong reactions to at least some of the participants in my study.

In every instance, my reactions ended up serving as data that supported or, in the case of Vanessa, helped establish my assessment of the participant's developmental level. Given the valuable role of data generated by these reactions, I would recommend that future studies include a systematic action inquiry component on the part of the researcher. This self-inquiry might include journaling thoughts and emotions that arise with each

interview, and asking a peer to review transcripts. Such a process can simultaneously improve the quality of interviews conducted and the depth of analysis reached.

In conclusion, the methodology of this study—specifically the use of member checking and of the Subject-Object interview—generated additional data that was used to evaluate and, ultimately, confirm the assessments of the participants.

Contributions to the Literature

Researchers and nonprofit practitioners have attempted to use many theories and research strategies to make sense of human variation in the area of philanthropic giving (see, for example, Bekkers & Wiepking, 2011; Harbaugh, Mayr, & Burghart, 2007; Ostrower, 1995; Prince & File, 1994). In fact, a number of theories from a variety of academic disciplines have been proposed to understand philanthropic practice. As was discussed in Chapter 1, a recent, comprehensive literature review of more than 500 articles across more than ten academic disciplines identified eight variables associated with philanthropic giving. The list of variables includes awareness of need, perceived costs and benefits of giving, altruism, and psychological benefits to the giver (Bekkers & Wiepking, 2011). These mechanisms represent distinct categories of motivating factors and, as such, provide a strong framework for future research. However, these mechanisms do not help us understand the overall perspective—or, what developmental psychologists call the action logic—of a philanthropist.

Developmental psychology, which attempts to understand and describe an individuals' often differing action logics, has produced theories that have been embraced by a number of fields and used for a variety of purposes. Such theories have been helpful in the fields of education, business, and healthcare—fields that, in one form or another,

are associated with the nonprofit sector. However, such theories have seldom been employed in nonprofit research, in general, and in research on philanthropic giving, in particular. Since its inception in 1972, for example, the *Nonprofit and Volunteer Sector Quarterly* (NVSQ)—one of the world’s leading scholarly journals focused on the nonprofit and philanthropic sector—has published fewer than 10 articles that reference key developmental theorists such as Jane Loevinger, Erik Erikson, Lawrence Kohlberg, Robert Kegan, or William Torbert. The few articles that do reference the work of developmental theorists and developmental theory (see, for example, Einolf, 2011; Gibboney, 1996; Graham, 1973; Latting, 1990; Logan, 1985; and Pollak, 1985) normally limit their focus to the work of only two theorists: Erikson (1959) and Kohlberg (1984). The choice of theorists is somewhat defensible, to be sure. Erikson’s work, for example, instituted an important shift in developmental theory; however, Erikson’s theoretical framework was developed and published in the mid-twentieth century and, in the ensuing sixty years, other theorists have made significant contributions to the understanding of human development.

The more contemporary contributions have not yet been fully explored in research about nonprofit organizations and philanthropic activity. For example, Torbert’s (2004, 2013; Rooke & Torbert, 2005) body of work, one aspect of which recently received the distinction of inclusion on Harvard Business Review’s list of the Top 10 Leadership articles of all times, has only been referenced in NVSQ once (see Patton, Mordaunt, & Cornforth, 2007). Kegan’s (1982, 1994) theoretical framework has been successfully applied in the field of education, a field with some ties to the nonprofit field, since many educational organizations, especially in the higher education area, are also nonprofit

organizations; however, his work, too, has only been referenced in one article in NVSQ, i.e., in the same article where Torbert's work was discussed (i.e., in Patton, Mordaunt, & Cornforth, 2007). Susanne Cook-Greuter's (1999) groundbreaking work on later stages of ego development has never been referenced by an NSVQ author. Ironically, unlike the somewhat more frequently-cited Erikson, all three of these contemporary theorists have developed instruments to measure developmental levels, making it easier for researchers to study the impact of development on behavior empirically. To date, such study does not appear to have occurred.

To summarize, up to this point post-Erikson theories have not been employed to explain people's motivations for giving. Therefore, this study is a first step in exploring how such theories might contribute to the current literature and, as such, it makes three specific contributions. First, this research suggests that developmental stages are related to philanthropic giving. In each of the eleven cases, in fact, the participant's developmental stage was evident in how they approached philanthropy. Developmental stages, or action logics, were associated with how participants structured their beliefs about philanthropy and played a role in shaping the participant's capacity and desire to see life from the perspective of others. Consequently, it is important for at least some members of the researcher community that is interested in making sense of philanthropic giving to ground their work in developmental perspectives.

Second, this study suggests that the dominant narrative in the nonprofit sector—the narrative which holds the donor as the person changing others rather than changing him/herself—is incomplete. Embedded in each of the 11 participants' philanthropic activities was an opportunity to grow developmentally. For some of the participants, this

growth represented the next highest developmental level. For others, the growth opportunity involved a deeper exploration and synthesis of the current stage. At earlier stages, participants were not aware of this growth edge. Participants at later stages were aware of and often were active participants in their own growth processes; indeed, participants at the Individualist, Strategist, and Alchemist stages seemed to believe that it was only through changing themselves that their capacity to help others change could be expanded. This mutual growth process hints at a more complete explanation of the practice of philanthropy in the nonprofit sector, and, overall, this study is an important step in developing a more accurate storyline about the benefits that can accrue from philanthropic activity.

The third contribution this study makes to the literature is a methodological contribution. This study contrasted the assessments made by two different research tools: the Subject-Object interview and the GLP sentence completion instrument. This contrasting allowed for an analysis of the psychometric properties of each tool. For example, the study recognized the possibility that the Subject-Object interview may, as Cook-Greuter (2003) wrote, offer a “scaffolded psychodynamic intervention” (p.1) that consequently produces an assessment representing the higher end of the interviewee’s developmental range. Similarly, the GLP assessment, which employs what has been characterized as a psychometric approach, i.e., an approach that prioritizing the adding together of discrete pieces of data analyzed independent of each other, may involve interpreting meaning without attending to sufficient context.

Implications for Practice

This research suggests that donors' action logics influence how donors approach philanthropy. This research, therefore, has numerous implications for practice. This section will first suggest three potential implications for practice in three areas: fundraising, board governance, and program design. Then, this section will review additional ideas suggested by nonprofit practitioners who reviewed parts of this document.

Implications for Fundraising

This research most certainly has implications for fundraising. Nonprofit leaders could, potentially, use developmental theory to inform the messaging of the organization and to structure the giving opportunities it offers to donors. For example, to target Achievers or Individualists, nonprofit leaders might take care to explain via its messaging the outcomes of and logic behind a specific project. Donors of these action logics might be approached to fund specific initiatives that are expected to produce measurable results. To target the Strategist donor, the organization could also include in its messaging the professional development activities offered to staff by the nonprofit. Development staff also might solicit donors that exhibit a Strategist action logic to fund long-term projects that build organizational capacity or that develop the capacity of the field in general. This type of targeted approach would, potentially, increase the likelihood of a successful fundraising "ask."

On a similar note, this research might promote what other scholars have called a shift from transactional giving to transformational giving. Every donor in this study had a developmentally-oriented growth opportunity that emerged through their philanthropic

activity. In short, the next (developmental) step in becoming better donors would be to embrace more complex ways of thinking. A thoughtful executive director might use this information to scaffold opportunities for donors to grow with the organization. For example, a late-Individualist might be invited to chair a committee on leadership and professional development opportunities for staff. This committee would provide the late-Individualist donor with an opportunity to think about issues of interest to a Strategist and, simultaneously, would provide a valuable service to the organization.

The executive director might also ask a person operating at a late-Diplomat stage to research information about an area into which the organization is interested in expanding, including a review of new regulatory issues that might emerge in this area. The late-Diplomat would have an opportunity to practice a behavior that would be of interest to the Expert and, simultaneously, provide the organization with much-needed background information. Scaffolding opportunities would, likely, also increase donor engagement. In addition to being attracted to the cause, the donor presumably would be attracted to the work he was performing and might see this work as a valuable personal or professional opportunity. Scaffolding opportunities would, also, increase an executive director's workload as individuals would, likely, require additional coaching to be successful.

Board Governance Implications

Nonprofit leaders also might consider developmental theory when organizing their organizations' boards and selecting board members. Each action logic has its strengths and its weaknesses; and each action logic—even (or especially, as some would argue) the Alchemist—benefits from interaction with others.

The Achiever's strength, for example, is the ability to mobilize a diverse team toward specific goals. The Achiever's weakness is his/her inability to reflect upon those goals or to acknowledge that other people might view goals differently. At the board level, it would be very helpful to have an Achiever spearheading a committee formed to develop a new initiative or increase the productivity of current activities; however, it is possible that the Achiever, with his or her razor-like focus on goal achievement, might inadvertently offend board or staff members or even clients. It would be helpful, therefore, to have a Diplomat on that committee. The Diplomat would help develop community and smooth over the Achiever's rough edges.

The same balance-oriented argument could also be made about the Strategist and the Expert. The Strategist is likely to see the broader issues at play but will likely not have the patience for many of the details to which someone must attend. An Expert can offer a detail-oriented perspective and ensure that the Strategist's broad vision is consistent with current policies and laws. In short, developmental theory could help nonprofit leaders to recruit and manage a more effective and cohesive board.

Implications for Program Design

Finally, this research has implications for nonprofit program design. I noticed, for example, that different donors tended to focus on different aspects of nonprofit programs and that these differences appeared to be related to the different action logics they employed to think about and do philanthropic work. In the dissertation, I used a logic model framework to discuss these differences. Donors who exhibited earlier action logics tended to discuss inputs and outputs; donors who appeared to be employing middle-level

action logics tended to discuss outcomes; and donors who exhibited later action logics focused their discussion on the overarching vision or impact of the program.

If this sort of variation is characteristic of donors, it is likely also likely to be a staff characteristic. Nonprofit staff may be drawn to one or more levels of activity and, potentially, unable to act at later levels. For example, a nonprofit staff member who is operating at a Diplomat level may focus on her relationships with clients or with other staff. This staff member may not fully understand how what she does on a daily basis relates to the broader outcomes or the broader vision that undergirds a program. Consequently, she may not be able to, of her own accord, adjust her work to better meet those outcomes.

Alternatively, a staff member operating at an Achiever level may excel at setting and achieving outcomes but may not be willing to reevaluate those goals. For example, the Achiever staff member may be focused on providing a meal to every client and not recognize the ways in which providing meals can further a client's dependency. In short, action logics may influence staff's ability to design and execute nonprofit programs just as they influence the thought and action of philanthropists.

Feedback from Practitioners

I invited three seasoned nonprofit practitioners¹⁶—all development professionals—to review the narrative analysis and theory-based analysis for four cases:

¹⁶ Three practitioners were invited to provide feedback. These practitioners, selected for their experience in the nonprofit sector and their interest in this research, included two current development staff members and one development consultant. They represented a broad range of nonprofits. One worked for a California-based human service organization and, in the evenings, taught M.A. level course in fundraising for nonprofit managers. Another worked for an East Coast-based environmental organization, had a preliminary knowledge of developmental theory, and was interested in using developmental theory in his organization's upcoming capital campaign. The third had spent most of her more than 20 years career fundraising for independent schools. She currently lives in Colorado and sits on a hospital foundation board.

Paula, Joseph, Richard, and Stacey. These cases were selected because they presented a range of action logics. As practitioners read the cases, they were asked to consider two questions. First, how, if at all, might this type of research inform the work of nonprofit practitioners? Second, how, if at all, might this type of research inform the work of social change?

In general, the practitioners expressed an excitement about the potential applications for practice. For example, one practitioner wrote:

My overarching feeling is that this type of research could be quite helpful to nonprofits. The idea of connecting with people “where they are” and really understanding their values, worldviews, and perspectives is actually quite foreign in my experience with nonprofits. We often think of our donors only in terms of how they relate to our organization, and we only get small glimpses of the entire picture of who they are and how they function.

When discussing specific applications of this research, the practitioner reviewers mentioned two of the three areas discussed above: fundraising and board governance. Additionally, they suggested that developmental theory might help the board to hire and recruit new executive directors. Specifically, one practitioner wondered if a board was composed primarily of postconventional individuals, might it make sense to hire an action-oriented Achiever as an executive director.

Reviewers also noted the need to consider the strengths of each action logic, and two specifically noted that Paula (Diplomat) would be an asset as a fundraising volunteer in building relationships with potential donors. One reviewer suggested that organizations

interested in social change work would likely be more successful if they had at least a few board members who employed at least an Achiever-level action logic.

One reviewer suggested that there may be ethical issues at play when soliciting donations from donors in earlier action logics. The reviewer said fundraisers are taught that “no” does not necessarily mean “no” and to continue approaching donors who do not donate on the first ask. She wondered if the donor was, like Paula, at the Diplomat stage, would the donor have the capacity to say no even if s/he really did not want to donate? The reviewer suggested that, in such cases, it would be important for the fundraiser to find a way to end the conversation with dignity for all parties rather than force a gift that was not genuine.

All practitioner reviewers suggested that more work was needed to translate this research into practitioner-ready materials. Specifically, they suggested it would be important to teach nonprofit executive directors and development directors how to quickly and informally assess the developmental level of donors.

Conclusion

In conclusion, this research has implications for practice not just in fundraising but also in board governance, program design, and in the hiring of staff, including those who fill the executive director position. As with all knowledge, this study’s results can be used in both positive ways (e.g., to facilitate transformational giving opportunities) and in ways that are less positive ways (e.g., to make those with lower level action logics feel inferior rather than as people who have contributions to make that are consistent with the action logics that guide their thinking and actions).

I urge practitioners and scholars to proceed with caution and with great respect for the people with whom they interact. As one practitioner reviewer mentioned, there are strengths and challenges associated with each action logic.

Study Limitations

As with any study, there are limitations to this research, many of which have been discussed throughout the manuscript. The most important limitations include the limitations of the instruments, the sample size, participant selection, and by issues related to confidentiality.

Limitations of the Instruments

One key limitation of this study has already been discussed in other sections: problems with the assessment tools techniques used. Neither the Subject-Object interview nor the GLP is a foolproof procedure. Indeed foolproof procedures really do not exist in social science. Here, however, limitations are rather obvious. As was previously described, for example, Subject-Object interviews may yield an assessment at the higher end of a person's developmental range and may have been subject to the limitations of my own developmental level, particularly as I assessed individuals who were operating at higher frames than I do. A number of strategies were used to manage this limitation. These strategies included comparing participants, taking a holistic look at a person's life trajectory, and attempting to separate stages of development from lines of development (i.e., interpersonal, intrapersonal, and cognitive development). A formal research audit was also used to identify potential bias that may have been introduced by the researcher.

Clearly, neither assessment strategy that was employed to identify each participant's primary action logic was a perfect tool. However, the use of the two

assessments combined offered greater depth of analysis and an opportunity to critique not only the interpretations of the qualitative interview data but also the relatively new GLP.

Sample Size

This study had a small sample size (n=11) and, as such, cannot be expected to generate any conclusive, definitive, or highly generalizable findings. However, the information captured in even a single case study, as Donmoyer (1990) argues, may provide new ways of framing issues. This was certainly the case in this study. For instance, the insights about parallel processing generated through Samantha's case suggest an important direction for future research.

Participant Selection

Like all studies, this study was limited by the participant selection process or, more specifically, by its selection criteria and by the diversity of its participants.

Selection criteria. Participant selection targeted philanthropists in California that gave significantly and thoughtfully. Significant giving was originally operationalized as giving of \$5,000 or more per year. Thoughtful giving was, for the purpose of this study, operationalized as giving in ways consistent with new philanthropy thinking. These two broad categories were introduced in an effort to find what Lurker (2008) called “data outcroppings—places where you have good reason, either from previous theory or logic or personal experience, to think there will be a lot of what it is you want to study” (p. 161). As described in detail in Chapter 3, both selection criteria were expanded somewhat during the study to increase the diversity of the sample.

The study's focus on new philanthropists was both a benefit and a limitation. The focus yielded the data outcroppings it sought but, by focusing on such a targeted group,

its findings are not yet generalizable. It is important to note, however, that there was a relationship between a participant's action logic and their work in philanthropy in all eleven cases studied, and this relationship is consistent with developmental theorists' suggestion that one's action logic affects everything one does. Given the findings of this study and the framework of developmental theory, this study makes the logical—not statistical—argument that its findings (i.e., that there is a relationship between a person's action logic and his or her philanthropic actions) are likely to be similar in future studies of other types of philanthropists. This argument, of course, warrants future empirical research.

Diversity. Traditional forms of diversity (e.g., race, religion, and gender) were presented in Chapter 3. Given the study's small sample size, the diversity of the participants is noteworthy; however, it is not a representative sample nor was there sufficient variation in cases to explore how being a member of a minority group might inform how one's action logic affects one's philanthropy. For example, how does a donor's expression of empathy differ across action logics and, also, across life experiences. Therefore, it is important for future studies to engage a more representative sample and to explore the phenomena (i.e., the relationship one's action logic(s) to one's philanthropy) across races, religions, ethnicities, gender expressions, and sexual orientations.

Participant selection, although a limitation regard to traditional forms of diversity, was a strength in regard to developmental forms of diversity. The study included participants who tested at seven of Torbert's eight action logics, all of the action logics except for the earliest, the Opportunist action logic. And, it included seven individuals

who were either at or transitioning toward postconventional levels. This assembly is statistically rare and is likely the result of self-selection bias. Consistent with developmental theory, the individuals at postconventional levels expressed excitement about the opportunity to explore their ideas through the interview and showed a keen interest in receiving the results of their GLP.

Issues of Confidentiality

This study was also limited by issues related to the confidentiality of participants. I paid particular attention to this issue because of the sensitive nature of the data discussed. In the initial drafts of the narrative analyses, I changed basic facts such as the person's name and the name and, in some cases, type of nonprofit organizations with which they were involved. During the member checking process, participants were invited to comment on whether I had sufficiently disguised their identities. As described in Chapter 9, many of the participants were comfortable with the minor changes I had made. A few participants, however, wanted more details to be changed.

I worked with each participant to come to a final version that was comfortable for them and that preserved the integrity of their story. In every case, my concern was to preserve the specific stories that showed evidence of developmental structure. For example, Julieta, an Expert, was adamant that we not disclose the nature of the leadership conflict she experienced. She was concerned that, should her identity be discovered, the individuals involved would sue her for disclosing confidential data. That particular story was a key point of data suggestive of Julieta's developmental level. With her permission, I made general references to the conflict but removed information about the nature of the

conflict. I also changed the type of organization in which she was involved. These changes, as minor as they are, do pose a limitation to the trustworthiness of this study.

Conclusion

In conclusion, this study includes many of the limitations around instruments and sample size that apply to other research. This study accounted for as many of the limitations as possible by using a number of strategies including member checking, a formal research audit, and triangulation between two assessments.

Suggestions for Future Research

As with most research, this study offers more questions than answers. Many of those questions have been suggested throughout this document. Four will be recounted and briefly discussed here.

First, this study suggested philanthropy may be a human activity in which donors tend to operate out of their optimal action logic. Data from this study—and from the pilot interviews conducted prior to but not included in this study—suggest that people who both work in and donate to nonprofits may operate out of different action logics in each situation. Specifically, individuals tended to demonstrate a later action logic when discussing their philanthropic activity and an earlier action logic when discussing their work commitments. This finding is, in reality, more of a hypothesis than a definitive result. Consequently, the viability of this hypothesis needs to be assessed with further research.

Second, this study also suggested that some donors may, through their philanthropic activity, be working through issues of recoverable loss, i.e., Kegan's (1982) notion that individuals naturally separate from people and ideas at earlier stages only to

revisit these ideas at increased levels of complexity at later stages. Recoverable loss is an opportunity to grow personally and, in the case of at least some donors in this study, could represent an opportunity to increase the effectiveness in their work as philanthropists. In fact, this seemed to be the case for at least two and, quite possibly, four of the study participants. Further research is needed to confirm the presence, scope, and implications of recoverable loss.

Additionally, and for one of the cases in particular, the recoverable loss issues of the donor seemed to parallel issues faced by the clients. This suggests that, potentially, the phenomena of parallel processing may occur in donor/client relationships similar to how it occurs in therapist/client relationships. Further research is also needed to determine the presence, scope, and implications of parallel processing. Researchers should note that they, too, may experience a parallel processing in their own lives (in this case, processing that is parallel with the donors they study) should they pursue deeply this type of research.

Third, further research is needed to determine how, if at all, the findings from this study can translate into practice. This research should explore what specific strategies nonprofit leaders might employ to facilitate giving, increase donor engagement, and, possibly, scaffold transformational giving opportunities. The four themes discussed in Chapter 10—conviction, empathy, development, and healing—are offered as a framework for implementation-oriented research.

Finally, this study indicates there is a relationship between a donor's action logic and the donor's philanthropic activities. It is logical, therefore, to think that a similar relationship exists for volunteers, board members, and nonprofit staff members. Further

research is needed to confirm or disconfirm this assumption and also to explore how those with different action logics interact with each other.

Conclusion

This study suggests that the nonprofit sector's dominant narrative of donor-as-do-gooder is naïve and incomplete. Donors may “do good” but, as the data from this study suggest, donors of later action logics are also exploring and, in some cases (e.g., Phyllis), challenging the limits of their own ideas through philanthropy. In short, donors have as much opportunity to learn and grow as do the clients they seek to help. Further research is warranted to expand the narrative of donor-as-do-gooder into a more complex, nuanced understanding of the interplay between donors and nonprofits and, eventually, to connect this understanding to similar research about nonprofit staff, volunteers, and clients.

REFERENCES

- Alexander, C., & Langer, E. (Eds.). (1990). *Higher stages of human development*. New York, NY: Oxford University Press.
- Andreoni, J. (1989). Giving with impure altruism: Applications to charity and Ricardian equivalence. *Journal of Political Economy*, 97(61), 1447-1458.
- Beck, D. E., & Cowan, C. C. (1996). *Spiral dynamics: Mastering values, leadership, and change*. Malden, MA: Blackwell Publishing Ltd.
- Bekkers, R., & Wiepking, P. (2011). A literature review of empirical studies of philanthropy: Eight mechanisms that drive charitable giving. *Nonprofit and Voluntary Sector Quarterly*, 40(5), 924-973.
- Bick, J. (2007, March 19). Write a check? The new philanthropist goes further. *New York Times*. Retrieved from <http://www.nytimes.com/2007/03/18/business/yourmoney/18legacy>.
- Bishop, M., & Green, M. (2009). *Philanthrocapitalism: How giving can save the world*. New York, NY: Bloomsbury Press.
- Boes, L. M., Magolda, M. B. B., & Buckley, J. A. (2010). Foundational assumptions and constructive-developmental theory: Self-authorship narratives. In M. B. B. Magolda, E. G. Creamer, & P. S. Meszaros (Eds.), *Development and assessment of self-authorship: Exploring the concept across cultures*. Sterling, VA: Stylus Publishing, LLC.
- Burton, R. (2012). Pathological certitude. In B. Oakley, A. Knafo, G. Madhavan, & D.S. Wilson (Eds.), *Pathological altruism* (pp. 131-137). New York, NY: Oxford University Press.

- Carlson, V., & Westenberg, P. M. (1998). Cross-cultural adaptations of the WUSCT. In J. Loevinger, (Ed.), *Technical foundations for measuring ego development*. Mahwah, NJ: Psychology Press.
- Chapman, L. J. (1967). Illusory correlation in observational report. *Journal of Verbal Learning and Verbal Behavior*, 6, 151-155.
- Chronicle of Philanthropy. (August 19, 2012). *Generosity in the states: A ranking*. Retrieved from <http://philanthropy.com/article/Generosity-in-the-States/133707/>
- Cobb, N. K. (2002). The new philanthropy: Its impact on funding arts and culture. *Journal of Arts Management, Law, and Society*, 32(2), 125–143.
- Cohn, L. D. (1991). Sex differences in the course of personality development: A meta-analysis. *Psychological Bulletin*, 109(2), 252-266.
- Cohn, L. D., & Westenberg, M. P. (2004). Intelligence and maturity: Meta-analytic evidence for the incremental and discriminant validity of Loevinger's measure of ego development. *Journal of Personality and Social Psychology*, 86(5), 760-772.
- Cook, T. D., & Campbell, D. T. (1979). *Quasi-experimentation: Design and analysis issues for field settings*. Chicago, IL: Rand McNally College Pub. Co.
- Cook-Greuter, S. (1990). Maps for living: Ego development theory from symbiosis to conscious universal embeddedness. In M. L. Commons, C. Armon, L. Kohlberg, F. A. Richards, T. A. Grotzer, & J. D. Sinnott (Eds.), *Adult development: Models and methods in the study of adolescent and adult thought*, Vol. 2. (pp. 79 -104). New York, NY: Praeger Publishers and Dare Association, Inc.

- Cook-Greuter, S. (1999). *Postautonomous ego development: A study of its nature and measurement*. (Doctoral dissertation). Harvard University Graduate School of Education: Cambridge, MA.
- Cook-Greuter, S. (2003). *Measuring the developmental stages of adults: Comparing the Subject-Object Interview and the Leadership Development Profile*. Retrieved from: <http://cook-greuter.com/>
- Creswell, J. W. (1998). *Qualitative inquiry and research design: Choosing among five traditions*. Thousand Oaks, CA: Sage Publications, Inc.
- Creswell, J. W., & Plano Clark, V. L. (2011). *Designing and conducting mixed methods research* (2nd ed.). Thousand Oaks, CA: SAGE Publications, Inc.
- de St. Aubin, E., McAdams, D. P., & Kim, T. (2004). *The generative society: Caring for future generations*. Washington, D.C.: American Psychological Association.
- Donmoyer, R. (1990). Generalizability and the single-case study. In E. Eisner & A. Peskhkin(Eds.), *Qualitative research on education: The continuing debate* (pp. 175-200). New York, NY: Teachers College Press.
- Eikenberry, A. (2007). Philanthropy and voluntary association in the hollow state: Giving circles and challenges for democracy. *Administration and Society*, 39(7), 857–882.
- Eikenberry, A. (2008). Fundraising in the new philanthropy environment: The benefits and challenges of working with giving circles. *Nonprofit Management and Leadership*, 19(2), 141-152.
- Erikson, E. (1959). *Identity and the life cycle*. New York, NY: International Universities Press.

- Einolf, C. (2011). Gender differences in the correlates of volunteering and charitable giving. *Nonprofit and Voluntary Sector Quarterly*, 40(6), 1092-1112.
- Faugier, J. & Sargeant, M. (1997). Sampling hard to reach populations. *Journal of Advanced Nursing*, 26. 790-797.
- Fenn, D. (2002, May 1). Shaking the foundations. *Inc.*, Retrieved from <http://www.inc.com/magazine/20020501/24176.html/1>
- Fischer, K. W. & Pruyne, E. (2003) Reflective thinking in adulthood: Emergence, development, and variation. In J. Demick & C. Andreoletti (Eds), *Handbook of adult development* (Pp.169-198), New York, NY: Kluwer Academic / Plenum Publishers.
- Foundation Center. (n.d.). *Tools and resources for assessing social impact*. Retrieved from <http://trasi.foundationcenter.org/>
- Forman, M. D. (2010). *A guide to integral psychotherapy*. Albany, NY: State University of New York.
- Geertz, C. (1973). *The interpretation of cultures*. New York, NY: Basic Books.
- Giboney, R. (1996). Service learning and commitment to community: Exploring the implications of honors students' perceptions of the process 2 years later. *Nonprofit and Voluntary Sector Quarterly*, 25(4), 506-524.
- Graham, R. (1973). Voluntary action and experimental education. *Nonprofit and Voluntary Sector Quarterly*, 2(4), 186-193.
- Greene, J. C., Caracelli, V. J., & Graham, W. F. (1989). Toward a conceptual framework for mixed-methods evaluation designs. *Educational Evaluation and Policy Analysis*, 11(3), 255-274.

- Harbaugh, W., Mayr, U., & Burghart, D. (2007). Neural responses to taxation and voluntary giving reveal motives for charitable donations. *Science*, *316*, 1622-1625.
- Hart, D., Southerland, N., & Aktins, R. (2003). Community service and adult development. In J. Demick & C. Andreoletti (Eds), *Handbook of adult development* (pp. 585-598). New York, NY: Kluwer Academic / Plenum Publishers.
- Hy, L. X., & Loevinger, J. (1996). *Measuring ego development, second edition*. Mahway, NJ: Lawrence Erlbaum Associates, Publishers.
- Jones, B. K., & McAdams, D. P. (2013). Becoming generative: Socializing influences recalled in life stories in late midlife. *Journal of Adult Development*, *20*, 158-172.
- Kegan, R. (1982). *The evolving self: Problem and process in human development*. Cambridge, MA: Harvard University Press.
- Kegan, R. (1994). *In over our heads: The mental demands of modern life*. Cambridge, MA: Harvard University Press.
- Kegan, R. (2010, July 10). The further reaches of adult development. [Video file]. Retrieved from <http://www.youtube.com/watch?v=BoasM4cCHBc>
- Kitchener, K. S., Lynch, C. L., Fischer, K. W., & Wood, P. K. (1993). Developmental range of reflective judgment: The effect of contextual support and practice on developmental stage. *Developmental Psychology*, *29*(5), 893-906.
- Kohlberg, L. (1984). *The psychology of moral development: The nature and validity of moral stages (Essays on moral development, Volume 2)*. San Francisco, CA: Harper & Row.

- Koltko-Rivera, M. E. (2006). Rediscovering the later version of Maslow's Hierarchy of Needs: Self-transcendence and opportunities for theory, research, and unification. *Review of General Psychology, 10*(4), 203-317.
- Koplowitz, H. (1990). Unitary consciousness and highest development of mind: The relation between spiritual and cognitive development. In M. L. Commons, C. Armon, L. Kohlberg, F. A. Richards, T. A. Grotzer, & J. D. Sinnot (Eds.). *Adult development volume 2: Models and methods in the study of adolescent and adult thought* (pp. 105-112). New York, NY: Praeger Publishers.
- Kuhn, T. S. (1996). *The structure of scientific revolutions* (3rd ed.). Chicago, IL: University of Chicago Press.
- Latting, J. K. (1990). Motivational differences between Black and White volunteers. *Nonprofit and Voluntary Sector Quarterly, 19*(2), 121-136.
- Lahey, L.L. (1986). *Males and females' construction of conflict in work and love* (Unpublished doctoral dissertation). Harvard University, Cambridge, Massachusetts.
- Lahey, L., Souvaine, E., Kegan, R., Goodman, R., & Felix, S. (2011). *A guide to the Subject-Object Interview: its administration and interpretation*. Cambridge, Massachusetts: Minds at Work.
- Letts, C. W., Ryan, W., & Grossman, A. (1997, March - April). Virtuous capital: What foundations can learn from venture capitalists. *Harvard Business Review*.
- Lincoln, Y. S. & Guba, E. G. (1985). *Naturalist inquiry*. Beverly Hills, CA: Sage Publications, Inc.

- Livesay, V. (2013). *Exploring the paradoxical role and experience of fallback in developmental theory* (Unpublished doctoral dissertation). University of San Diego, San Diego: CA.
- Loevinger, J., & Wessler, R. (1970). *Measuring ego development, vols 1. and 2.* San Francisco, CA: Jossey-Bass.
- Loevinger, J. (1976). *Ego development.* San Francisco, CA: Jossey-Bass.
- Loevinger, J. (Ed.). (1998). *Technical foundations for measuring ego development.* Mahwah, NJ: Psychology Press.
- Logan, R. (1985). Youth volunteerism and instrumentality: A commentary, rationale, and proposal. *Nonprofit and Voluntary Sector Quarterly, 14*(1), p45-48.
- Luker, K. (2008). *Salsa dancing into the social sciences: Research in an age of info-glut.* Cambridge, MA: First Harvard University Press.
- Manners, J., & Durkin, K. (2001). A critical review of the validity and ego development theory and its measurement. *Journal of Personality Assessment, 77*(3), 541-567.
- Maslow, A. (1998). *Maslow on management.* New York, NY: John Willey and Sons, Inc.
- Mathison, S. (1988, March). Why triangulate? *Educational Researcher, 13*-17.
- McAdams, D.P., de St. Aubin, E. (1998). *Generativity and adult development: How and why we care for the next generation.* Washington, D.C.: American Psychological Association.
- McNeill, B. W. & Worthen, V. (1989). The parallel process in psychotherapy supervision. *Professional Psychology: Research and Practice, 20*(5), 329-333.
- Murphy, R. A., Schmeer, S., Valleé-Tourangeau, F., Mondragón, E., & Hilton, D. (2001). Making the illusory correlation effect appear and then disappear: The effects of

- increased learning. *The Quarterly Journal of Experimental Psychology*, 64(1), 24-40.
- Ostrander, S. (2007). Growth of donor control: Revisiting the social relationships of philanthropy. *Nonprofit and Volunteer Sector Quarterly*, 36, 356-372.
- Ostrower, F. (1995). *Why the wealthy give: The culture of elite philanthropy*. Princeton, NJ: Princeton University Press.
- Paton, R., Mordaunt, J., & Cornforth, C. (2007). Beyond nonprofit management education: Leadership development in a time of blurred boundaries and distributed learning. *Nonprofit and Volunteer Sector Quarterly*, 36(4), p. 148S-162S.
- Pepin, J. (2005). Venture capitalists and entrepreneurs become venture philanthropists. *International Journal of Nonprofit and Voluntary Sector Marketing*, 10, 165-173.
- Piaget, J. (1928). *Judgment and the reasoning child*. New York, NY: Harcourt, Brace & Company.
- Pfaffenberger, A. (2011). Assessing postconventional personality: How valid and reliable is the sentence completion test? In A. H. Pfaffenberger, P. W. Marko, & A. Combs (Eds.), *The postconventional personality* (pp. 9-22). Albany, NY: State University of New York.
- Pfaffenberger, A. (2013, June). Exploring the pathways to postconventional personality development. *Integral Leadership Review*.
- Polak, P., & Warwick, M. (2013). *The business solution to poverty: Designing products and services for three billion new customers*. San Francisco, CA: Berrett-Koehler Publishers, Inc.

- Pollak, P. (1985). Does citizen participation matter? Toward the development of theory. *Nonprofit and Volunteer Sector Quarterly*, 14(1), 16-29.
- Polkinghorne, D. E. (1995). Narrative configuration in qualitative analysis. *Qualitative Studies in Education*, 8(1), 5-23.
- Prince, R. A., & File, K. M. (1994). *The seven faces of philanthropy*. San Francisco, CA: Jossey-Bass.
- Racker, H. (1957). The meanings and uses of countertransference. *The Psychoanalytic Quarterly*, 26, 303-357.
- Ravinder, S. (1986). Loevinger's sentence completion test of ego development: A useful tool for cross-cultural researchers. *International Journal of Psychology*, 21, 679-684.
- Redmore, C. (1976). Susceptibility of faking a sentence completion test of ego development. *Journal of Personality Assessment*, 40(6), 607-617.
- Robinson, O. (2013). *Development through adulthood: An integrative sourcebook*. New York, NY: Palgrave MacMillan.
- Rooke, D., & Torbert, W. R. (1998). Organizational transformation as a function of CEO's developmental stage. *Organizational Development Journal*, 16(1), 11-28.
- Rooke, D., & Torbert, W. (2005, April). Seven transformations of leadership. *Harvard Business Review*.
- Social Venture Partners. (n.d.). *Our Mission*. Retrieved from <http://www.socialventurepartners.org/what-we-do/>
- Schervish, P. (2007). Is today's philanthropy failing beneficiaries? Always a risk, but not for the most part. *Nonprofit and Voluntary Sector Quarterly*, 36(2), 373-379.

- Searles, H. F. (1955). The informational value of the supervisor's emotional experiences. *Journal for the Study of Interpersonal Processes, 18*, 135-146.
- Starr, B. J. & Katkin, E. S. (1969). The clinicians as an aberrant actuary: Illusory correlation and the incomplete sentences blank. *Journal of Abnormal Psychology, 74*(6), 670-675.
- Souvaine, E., Lahey, L., & Kegan, R. (1990). Life after formal operations: Implications for a psychology of the self. In C. N. Alexander & E. J. Langer (Eds.), *Higher stages of human development* (pp. 229-257). New York, NY: Oxford University Press.
- Torbert, W. R. (1987). *Managing the corporate dream: Restructuring for long term success*. Ontario, Canada: Dow Jones Irvin.
- Torbert, W. R. (2004). *Action inquiry: The secret of timely and transforming leadership*. San Francisco, CA: Berrett-Koehler Publishers, Inc.
- Torbert, W. R. (2013). Listening in the dark: An essay testing the validity and efficacy of Collaborative Developmental Action Inquiry for describing and encouraging transformations of self, society and scientific inquiry. *Integral Leadership Review, 9*(2), 264 – 299.
- Torbert, W. R. (2014). *Brief comparison of the five developmental measures: the GLP, the MAP, the LDP, the SOI, and the WUSCT*. Retrieved from <http://www.williamrtorbert.com/>
- Torbert, W. R., & Livne-Tarandach, R. (2009). Reliability and validity tests of the Harthill Leadership Development Profile in the context of developmental action inquiry theory, practice and method. *Integral Review, 5*(2), 133-151.

Wagner, L. (2002). The 'new' donor: Creation or evolution? *International Journal of Nonprofit and Voluntary Sector Marketing*, 7(4), 343-352.

Wilber, K. (2000). *A theory of everything: An integral vision for business, politics, science and spirituality*. Boston, MA: Shambhala.

W.K. Kellogg Foundation (2004, January). Logic model development guide. Retrieved from www.wkkf.org

APPENDIX A
INTERVIEW GUIDE

First Interview

1. Imagine that this blank piece of paper is a timeline of your life. Please use this pen and mark the events or memories you believe have had a significant impact on you. I'm particularly interested in those events and memories that impacted your work in philanthropy today. You do not need to write the whole story. For now, please just jot down a word or two to remind you of the event or memory.
2. Please tell me about the events and memories you have written down.
3. Are there any other events or memories are important?

Second Interview

1. Please describe two or three of your recent philanthropic projects that are important to you.
2. What would you most like to learn in regard to your philanthropic work?

INSTITUTIONAL REVIEW BOARD CLEARANCE



ENTERED
2/21/14

Institutional Review Board Project Action Summary

Action Date: February 21, 2014 *Note: Approval expires one year after this date.*

Type: New Full Review New Expedited Review Continuation Review Exempt Review
 Modification

Action: Approved Approved Pending Modification Not Approved

Project Number: 2014-02-176
Researcher(s): Jennifer Amanda Jones Doc SOLES
Robert Donmoyer, PhD Fac SOLES
Project Title: Beyond Generosity: The Action Logics in Philanthropy

Note: We send IRB correspondence regarding student research to the faculty advisor, who bears the ultimate responsibility for the conduct of the research. We request that the faculty advisor share this correspondence with the student researcher.

Modifications Required or Reasons for Non-Approval

None

The next deadline for submitting project proposals to the Provost's Office for full review is N/A. You may submit a project proposal for expedited review at any time.

Dr. Thomas R. Herrinton
Administrator, Institutional Review Board
University of San Diego
herrinton@san Diego.edu
5998 Alcalá Park
San Diego, California 92110-2492

Office of the Executive Vice President and Provost
Hughes Administration Center, Room 214
5998 Alcalá Park, San Diego, CA 92110-2492
Phone (619) 260-4553 • Fax (619) 260-2210 • www.sandiego.edu