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THE CENTER FOR CREATIVE LEADERSHIP

HANDBOOK OF LEADERSHIP DEVELOPMENT

THIRD EDITION

CENTER FOR CREATIVE LEADERSHIP

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The Center for Creative Leadership
Handbook of Leadership Development

Editors Ellen Van Velsor, Cynthia D. McCauley, and Marian N. Ruderman

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The Center for Creative Leadership Handbook of Leadership Development

Third Edition

Ellen Van Velsor
Cynthia D. McCauley
Marian N. Ruderman

Editors

Foreword by John R. Ryan

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Published by Jossey-Bass
A Wiley Imprint
989 Market Street, San Francisco, CA 94103-1741—www.josseybass.com

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Library of Congress Cataloging-in-Publication Data

The center for creative leadership handbook of leadership development / Ellen Van Velsor,
Cynthia D. McCauley, Marian N. Ruderman, editors ; foreword by John R. Ryan.—3rd ed.
p. cm.
"A joint publication of the Jossey-Bass business & management series and the
Center for Creative Leadership."
Includes bibliographical references and index.
ISBN 978-0-470-38739-9 (cloth/website)
1. Leadership. 2. Creative ability in business. I. Van Velsor, Ellen. II.
McCauley, Cynthia D. (Cynthia Denise), 1958- III. Ruderman, Marian N. IV.
Center for Creative Leadership. V. Title: Handbook of leadership development.
HD57.C38 2010
658.4'092—dc22

2009043628

Printed in the United States of America
THIRD EDITION
HB Printing 10 9 8 7 6 5 4 3 2 1

A Joint Publication of

The Jossey-Bass
Business & Management Series
and
The Center for Creative Leadership

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FOREWORD

In our increasingly complex world, the challenges and opportunities for leaders, and those in charge of developing them, have never before been greater. At the Center for Creative Leadership (CCL), our goal is to help individuals and organizations rise to the occasion by unlocking their leadership potential. Over four decades, we have worked with hundreds of thousands of executives and managers worldwide. Those leaders serve Fortune 500 companies, government agencies, educational institutions, nonprofit organizations, and nongovernmental organizations. We have pioneered research in our field. We have sought, in the words of our founders, "to advance the understanding, practice and development of leadership for the benefit of society worldwide."

This handbook, now in its third edition, draws on those vast stores of expertise. It elaborates CCL's view on today's most pressing leadership issues. Practicing leaders at every stage in their careers, especially those charged with directing leadership development in their own organizations, will get much use from this single, comprehensive, accessible source.

This third edition of *The Center for Creative Leadership Handbook of Leadership Development* includes entirely new chapters on such key challenges as leading in times of change and transition, developing strategic leadership, and cultivating globally responsible leadership. As you have likely found in your own experience, the rapid flow of information, political and economic uncertainty, and the growing global marketplace often overwhelm the ability of individual leaders to make the right calls. So it becomes vital to build leadership capacity throughout organizations. That means working more effectively in teams, spanning the

boundaries among groups, and developing new leadership cultures—and this handbook shows how.

Thanks go to the editors and authors who combined their considerable talents to produce this book. We are also grateful for the support of our clients, whose commitment to strengthening their leadership skills sustains CCL and made it possible for us to gather the knowledge in this book. We hope it will serve as a valuable guide in your leadership journey.

Greensboro, North Carolina
December 2009

John R. Ryan
President and CEO
Center for Creative Leadership

PREFACE

This handbook summarizes and integrates much of what the Center for Creative Leadership (CCL) has come to understand about leadership development. As with earlier editions, working on this third edition has helped CCL clarify and integrate our knowledge and perspectives.

As an institution, CCL has devoted much of its energy and resources to understanding how to create better leadership in and for the world. We have approached this task from both research and practice perspectives; that is, we have tried to study the processes of leadership development systematically, intervene in those processes, and develop and test new ones. In almost forty years of work, we have gained a wealth of knowledge; created leader and leadership development models, tools, and programs; and had a positive impact on individuals and organizations worldwide. This handbook consolidates our current thinking about the how-to of leadership development.

We have written this book for people in organizations who design and implement development processes. In many organizations, this responsibility belongs to human resource (HR) and training professionals. But more and more, others (line managers and school and nonprofit leaders, for example) are playing an increasingly active role in the development of leadership capacity in organizations. Although we have HR professionals in mind as our primary audience, our hope is that anyone who wants to be more sophisticated in their practice of leadership development will find useful ideas here.

ROOTS OF THE BOOK

Although all of the chapter authors brought their own experience and expertise to bear on their chapters, each was also influenced by numerous streams of research

and practice at CCL. These streams have been fed by the work of many faculty around the world.

One stream—and one of our core activities at CCL—is feedback-intensive leader development programs. This activity began in the early 1970s with what has become our flagship program, the Leadership Development Program (LDP). About four thousand managers complete this program each year. In addition, our work has broadened over the years to encompass other programs, including one designed specifically for top executives (Leadership at the Peak), another built around a behavioral simulation that challenges participants to run a company (The Looking Glass Experience), one that focuses on the strategic work of leaders (Developing the Strategic Leader), and numerous others customized for such specific populations as educators and nonprofit leaders, for example, or for particular organizations. We have also learned from a variety of niche programs developed to address certain issues and capabilities; among them are global leadership, leading people through transition, coaching for development, and leading teams.

Because we wanted to evaluate and improve our feedback-intensive programs, we began years ago to study their impact. What we have learned has not only helped us refine our programs but also has given us a window on how leader development unfolds over time and how to best assess learning and change. Evaluation studies continue to be a central part of CCL's research activities.

In addition to feedback-intensive programs, we were one of the first organizations to routinely use 360-degree feedback instruments in our leader development work. Providing organizations with these tools and training professionals in how to use them have become core activities at CCL. Not only did we put a great deal of research into developing these instruments, but we have continued to investigate the dynamics of the 360-degree process.

Another outgrowth of our assessment work is formal coaching interventions. One-on-one developmental coaching with a trained facilitator was a feature of CCL's earliest programs. These coaching sessions, often the highlight of a program, help participants integrate their assessment data and begin crafting development goals. To extend the learning process over time, we began offering a series of postprogram coaching sessions to our participants, sessions that are now often supported by online follow-through processes. For many years, CCL has also provided high-impact individual feedback and coaching to senior managers.

Another stream of research that has greatly influenced this handbook started with a project that ultimately produced the book *The Lessons of Experience* (McCall, Lombardo, and Morrison, 1988). Through interviews and open-ended questionnaires, executives told the stories of their developmental experiences—the events and people that shaped them as leaders. This study significantly influenced CCL's understanding of leader development in that we more clearly saw that most leader development occurs on the job through assignments, relationships, and hardships. Formal development programs play an important and distinct role, but they are not a substitute for these other formal and informal experiences. Over the years, we have replicated that study to look at the impact of gender and race and more recently have extended this work into Asia. We also developed a variety of instruments and other practical tools from this research stream. Workplace leadership development is a key area of CCL expertise.

A more recent research stream began with explorations of cross-cultural leader development and leading across boundaries in a global economy. As CCL has done more and more work all over the world, what started as a targeted study of two separate issues is now an integrated focus for CCL research and practice. Daily we now encounter issues of cross-boundary leadership and cross-cultural leader development in our work in Europe, the Middle East, Africa, South America, Australia, and Asia-Pacific, and with the increasingly international mix of participants in our classrooms in the United States.

Finally, this book is also fed by the latest stream of research and development at CCL: developing the leadership capacity of groups and organizations. This capacity is embedded not only in the individuals who occupy leadership roles within collectives but also in the relationships, systems, and leadership cultures of the organization.

WHAT'S NEW IN THE THIRD EDITION

With each edition of this handbook, we update readers on both a core knowledge base and the main new directions our work is taking. When we published the second edition, our goals were to reflect the growth in our knowledge about leader development across race and gender, our growing expertise in coaching, and our increased understanding of the use of constructive-developmental approaches to leader development. We also introduced new chapters based on our emerging work on developing leadership as an organizational capacity.

This third edition differs significantly from the second in four main ways.

First, it includes many new chapters—some completely new in topic and some that are new interpretations of topics presented in earlier editions. For the first time, it has chapters on leader development in the education sector, developing leaders in times of transition, democratizing leader development, developing teams, developing globally responsible leadership, developing strategic leadership, and developing intergroup and interdependent leadership.

Some second edition chapters have been deleted and their thrust wrapped into other chapters that take a new or wider perspective. For example, key ideas from former separate chapters on race and gender now appear in a new chapter on developing social identity, a broader construct that applies also to other aspects of identity such as religion, culture, or sexual orientation. Similarly, we have incorporated key points from the second edition chapter on 360-degree feedback into the chapter on feedback-intensive programs, since the former topic has become better known in the leader development field. We have found that 360-degree feedback fits well into feedback-intensive programs, both in practice and discussion.

The second big difference is that we have given more weight in this edition to the area of developing leadership as an organizational capacity. Whereas the second edition had only two chapters with this focus, this new edition has five, and we believe many of the chapters show an evolution of our thinking about developing leadership capacity at an organizational level. This is still an exciting new area for us, and we have much to learn.

The third difference is that we have had much more experience with both leader and leadership development on a global scale since the second edition was written. In the past five years, we have started conducting more research and programs in Eastern Europe and Russia, Africa, India, Singapore, China, and elsewhere around the world. So in this third edition, we have tried to capture our wider awareness by dropping the two discrete chapters on global leadership and cross-cultural issues in favor of including knowledge about global and cross-cultural issues in nearly all of the chapters.

The fourth main difference is that this new edition is accompanied by a Web site. We have heard from both readers and reviewers alike that they miss having access to some of the chapters we have dropped from edition to edition. This Web site contains files with downloadable versions of these chapters and other related materials we believe readers will find of interest.

WHAT THE HANDBOOK DOES NOT COVER

Although the word *handbook* in the title may suggest exhaustive and comprehensive coverage of a particular field, this book does not cover everything that could conceivably be examined in the domain of leadership development. Leadership and development are broad concepts that can be approached from many different perspectives. Because of our particular history of research and practice, we have gained a certain perspective on leadership development. It is this perspective in its various aspects that we cover in this handbook. Hence, the handbook does *not* do any of the following.

This handbook does not comprehensively review leadership theories. In the Introduction, we, the editors of this book, share a view of leadership development that has evolved within CCL. This view is not directly tied to any of the classic categories of leadership theory (such as leader-member exchange or transformational theories). Rather, we have tended to borrow ideas from various theories and integrate them in both our leadership research and in our program and product designs for development work with managers.

Nor does this book present one definitive model of leadership. Unlike a number of our colleagues in the leadership development field (for example, Stephen Covey, Jim Kouzes, and Barry Posner), we do not present a single, detailed leadership model that attempts to frame and delineate the practices, competencies, or behaviors of effective leaders; nor do we provide specific guidance for leaders about what in themselves they should develop. However, in our work at CCL, we do use numerous specific models to describe how effective leaders think and act, and over time we have more closely examined the commonalities across those models. In the Introduction, we share a resulting framework that articulates a number of broad capabilities that people develop over time and enable them to more effectively take on leadership roles.

Similarly, in our classroom work with managers, we have found numerous and varied leadership models to be useful tools that people can use to assess themselves and decide what strengths are important in their own contexts and what to develop. It is an eclectic model but one that we have found more provocative of self-insight for leaders than any ‘‘one-size-fits-all’’ model.

This book does not cover all the methods of leader development. It focuses on the methods with which CCL has considerable experience and expertise. Therefore, readers will not find much specific mention of knowledge-building

educational experiences (used commonly in university settings with a heavy emphasis on case studies), sensitivity group experiences (developed and used extensively by National Training Labs), or outdoor adventure experiences (popularized by Outward Bound). However, in our work we do borrow from all these methods, and individual CCL staff members have considerable expertise with them.

ORGANIZATION OF THE BOOK

We have organized this third edition into an Introduction and two parts. The Introduction summarizes CCL's view of leadership development. This summary frames the book, setting forth our basic assumptions, a model of the key elements in leader development, and a framework for understanding the important aspects of leadership development at a more collective level. Because the remaining chapters all refer to these ideas, we strongly urge reading the Introduction before moving on to the chapters.

The chapters in Part One deal with individual leader development. Chapter One provides a broad framework for understanding the elements of an organization's leader development system. Each of the three chapters that follow delves into methods of development that CCL is most knowledgeable about. Chapter Two focuses on learning from experience, Chapter Three on feedback-intensive programs, and Chapter Four on coaching. We then turn to leader development for particular populations of leaders or specific leadership contexts that we see as critically important. Chapter Five describes the role of social identity in leader development. Chapter Six examines development for public school leaders. Chapter Seven describes an approach to developing leaders who can effectively lead during times of organizational transition. And Chapter Eight explores leader development for the large numbers of people who are not at the top of the socioeconomic pyramid. We end Part One with a chapter on evaluating developmental interventions (Chapter Nine)—a topic we see as essential to effective leader development.

Part Two focuses on developing collective leadership capacity in organizations. Each chapter focuses on developing a particular leadership capacity within organizations: team leadership (Chapter Ten), strategic leadership (Chapter Eleven), globally responsible leadership (Chapter Twelve), intergroup leadership (Chapter Thirteen), and interdependent leadership (Chapter Fourteen). These

chapters examine the knowledge, skills, and perspectives individual leaders need to develop in order to enhance leadership capacity within organizations, the shared beliefs and practices (what we call the *leadership culture*) that need to be developed in the organization, and strategies for this collective development. As noted earlier, this work is newer and evolving at CCL, and although these chapters bring different perspectives to the task of developing organizational leadership capacity, we believe they share some common ideas and point to similar strategies for developing leadership that can produce direction, alignment, and commitment in the face of tough and often ambiguous organizational challenges.

A FINAL WORD OR TWO

With this volume, we have tied together and integrated many of the initiatives stemming from our different areas of expertise and provided a window into our thinking and practices. Our primary goal remains to present that knowledge in a way that others can use in their efforts to create development experiences and design leadership development processes and systems—to provide readers with both a conceptual understanding of the elements of leader and leadership development and practical ideas about how both individual and organizational leadership capacity can be enhanced.

Greensboro, North Carolina
December 2009

Ellen Van Velsor
Cynthia D. McCauley
Marian N. Ruderman

ACKNOWLEDGMENTS

It is impossible to name all of the colleagues and clients who have contributed to developing the knowledge contained in this book. The knowledge has developed over time through numerous projects and programs. We feel privileged to be part of the CCL community; we want to acknowledge the entire community as the source of our knowledge and thank them for their support in putting this handbook together.

There are particular colleagues to whom we do need to draw special attention because they provided valuable input and feedback on various chapters. Our special thanks go to John Alexander, Heather Champion, David Day, Emily Hoole, Ted Grubb, Tim Haynes, Jennifer Habig, Michael Hoppe, Bill Passmore, David Powell, and Peter Scisco. We also acknowledge the authors of chapters in the first and second editions of the handbook on whose valuable work we built: Keith Caver, Craig Chappelow, Maxine Dalton, Christina Douglas, Victoria Guthrie, Sharon Ting, Wayne Hart, Michael Hoppe, David Horth, Martha Hughes-James, Lily Kelly-Radford, Ancella Livers, Dana McDonald-Mann, Russ Moxley, Patricia O'Connor, Patricia Ohlott, and Mary Lynn Pulley.

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The Center for Creative Leadership Handbook of Leadership Development

Introduction: Our View of Leadership Development

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As in any other discipline, the leadership development field advances its understanding and practice by examining and reexamining fundamental questions. In leadership development, these central questions include:

- What does it take to be an effective leader?
- Are some leadership practices more effective in particular contexts?
- How do people learn important leadership skills and perspectives?
- What are the necessary ingredients for stimulating development in leaders?
- What are the impacts of societal and cultural factors on the development of leaders?
- What are the best strategies for developing shared leadership beliefs and practices in groups, teams, and organizations?

Exploring these types of questions with our clients and colleagues has been the basis of the Center for Creative Leadership's (CCL) efforts to advance the

understanding, practice, and development of leadership. In the 1970s, CCL began experimenting with feedback-intensive leadership development programs, which provide participants with a heavy dose of feedback in a supportive environment. Over the years, we have refined these programs and added components, developed more sophisticated feedback tools and methods, and studied the impact of our programs on the participants. We have also studied how managers learn, grow, and change throughout their careers—not just from formal programs but also from the challenges in their working and nonworking lives, the relationships they cultivate, and the adverse situations they encounter.

We continue to invest energy and resources in efforts to understand and improve the leadership development process. For most of CCL's history, the essential question that has provided direction for both our research and educational activities has been this: How can people develop the skills and perspectives necessary to be effective in leadership roles? Much of what we have learned from examining this question is contained in this handbook. More recently, we have broadened our research and practice beyond developing individuals to developing collective capacity for leadership among people with shared work. What we are learning from this broader perspective on leadership development is also shared in the handbook.

In this Introduction, we present a framework for understanding concepts that underlie the chapters that follow. We distill what we have learned into a model of leader development that can serve as a scaffold for more specific models presented in the chapters. We explain how we understand leader development to be one aspect of a broader concept of leadership development and discuss a leadership model that has implications for the work of leadership development that go well beyond our traditional work with individuals.

ASSUMPTIONS AND MODEL OF LEADER DEVELOPMENT

We define *leader development* as the expansion of a person's capacity to be effective in leadership roles and processes. Leadership roles and processes are those that facilitate setting direction, creating alignment, and maintaining commitment in groups of people who share common work. Notice that this is a definition of *leader development,* not of the more commonly used phrase, *leadership development.* Most of our research and educational programs have been directed toward developing the individual, so developing leaders is where we begin in describing

our model. We will return to the broader concept of leadership development later in this Introduction.

Assumptions

Our approach to developing leaders is embedded in several basic assumptions. First, we believe that there are many different leadership roles and processes and that most people participate in leadership in the course of their lives. They take on leadership roles and participate in leadership processes in order to carry out their commitments to larger social entities: the organizations in which they work, the social or volunteer groups of which they are a part, the neighborhoods in which they live, and the professional groups with which they identify. These leadership roles may be formal positions infused with authority to take action and make decisions (for example, a manager, an elected official, or a group's representative at a meeting), or they may be informal roles with little official authority (the team member who helps the group develop a better sense of its capabilities, the person who organizes the neighborhood to fight rezoning efforts, the whistle-blower who reveals things gone wrong). Leaders may actively participate in recognized processes for creating change (such as serving on task forces or project teams, identifying and focusing attention on problems or issues, or getting resources to implement changes) or more subtle processes for shaping culture (telling stories that define organizational values, celebrating accomplishments). Rather than classifying people as leaders or nonleaders, we believe that all people can learn and grow in ways that make them more effective in the various leadership roles and processes they take on. This process of personal development that improves leader effectiveness is what we understand leader development to be about.

Our second assumption is that leader development is context sensitive. There is no one best way to lead or to develop leaders. In different settings, there may be different expectations of leaders and different practices that make them effective. Leader development experiences are undertaken in diverse contexts—for example, in large organizations that need leaders who can take on higher-level responsibilities, in local communities that need leaders who can collaborate to solve complex social problems, and in poor countries that need more people to feel empowered as leaders.

Finally, and although it may go without saying, we assume that individuals can expand their leadership capacities and that these efforts to develop are worthwhile.

This is part of our broader belief that individuals can learn, grow, and change and that this learning and growth contribute to effectiveness. We do not debate the extent to which effective leaders are born or are developed. No doubt leadership capacity has its roots partly in genetics, partly in early childhood development, and partly in adult experience. What we focus on here is what our experience has amply demonstrated: adults can develop the important capacities that facilitate their effectiveness in leadership roles and processes. People can use their existing strengths and talents to grow in their weaker areas and can significantly enhance their overall effectiveness through leader development work.

A Two-Part Model

The core question, of course, is how to go about developing leaders. How do people acquire or improve their capacity for leadership? How do organizations most effectively help them in this process? A two-part model, illustrated in Figure I.1, reflects our attempt to summarize what we have learned about the basic ingredients for leader development.

Assessment, Challenge, and Support Figure I.1a shows three elements that combine to make developmental experiences more powerful: assessment, challenge, and support (ACS). Whatever the leader development experience is, it has more impact if it contains these three elements.

We know that although leaders learn primarily through their experiences, not all experiences are equally developmental. For example, the first year in a

Figure I.1
Leader Development Model

Assessment
Challenge
Support
Developmental experiences

(a) **Developmental Experiences**

Variety of developmental experiences
Leader development
Ability to learn
Leadership context

(b) **The Development Process**

new job is usually more developmental than the fifth or sixth year. Working with a boss who gives constructive feedback is usually more developmental than working with one who does not. A training program that encourages lots of practice and helps participants examine mistakes is usually more developmental than one that provides information but no practice. Situations that stretch an individual and provide both feedback and a sense of support are more likely to stimulate leader development than situations that leave out any of these elements. Any experience—a training program, an assignment, a relationship—can be richer and more developmental by making sure that the elements of assessment, challenge, and support are present.

Leader Development as Process Figure I.1b shows that leader development is a process that requires a variety of developmental experiences and the ability to learn from experience. The individual brings the latter to the development process. In the course of much of our work, we have noticed that people learn from similar experiences to differing degrees and in different ways. Although such variation is explained in part by the level of challenge that different people perceive in any experience, another factor is the individual's ability to learn from an experience. The ability to learn is a complex combination of motivational factors, personality factors, and learning tactics.

Figure I.1b also shows that developmental experiences and the ability to learn have a direct impact on each other. Being engaged in a developmental experience can enhance a person's ability to learn, and being more readily able to learn can lead one to draw more development from any set of experiences. Thus, although we conceptually separate the developmental experience and the learner in our model (the better to discuss them), they are in fact closely interconnected: developmental experiences can enhance a person's ability to learn, and individuals with high ability to learn seek out and may benefit more from a variety of developmental experiences.

Finally, Figure I.1b indicates that any leader development process is embedded in a particular leadership context. Context includes broad elements such as national culture, age and gender mix of the population, economic conditions, organizational purpose and mission, and business strategy. It can also include more role- and person-specific elements, such as the leader's level in the organization, social identity, and current challenges. The contextual backdrop shapes

the leader development process—how assessment, challenge, and support are operationalized; the opportunities and motives for development; and the specific techniques and methods used for development.

ELEMENTS OF AN EFFECTIVE DEVELOPMENTAL EXPERIENCE

Through CCL's research and educational programs, we have gained an understanding of the main elements driving leader development: assessment, challenge, and support. We find that any type of developmental experience, from training programs to job assignments, is most effective when all three main elements are present.

These main elements serve dual purposes in the development process. First, they motivate people to focus their attention and efforts on learning, growth, and change. Second, they provide the raw resource materials for learning: the information, observations, and reactions that lead to a more complex and sometimes quite different understanding of the world. Leaders need a wide range of learning experiences, each of which provides assessment, challenge, and support. Table I.1 summarizes the motivational role played by each element, as well as the kind of learning resource each provides. In the next three sections of this chapter, we look at each of these elements in more depth.

Assessment

The best developmental experiences are rich in assessment data. These data can come from oneself or from other people: peers in the workplace, bosses, employees,

Table I.1
Elements of a Developmental Experience

Element	Role in Motivation	Role as a Resource
Assessment	Desire to close gap between current self and ideal self	Clarity about needed changes; clues about how gap can be closed
Challenge	Need to master the challenge	Opportunity for experimentation and practice; exposure to different perspectives
Support	Confidence in ability to learn and grow; positive value placed on change	Confirmation and clarification of lessons learned

spouses, children, parents, friends, customers, counselors, and organizational consultants, among many others. The processes for collecting and interpreting the data can be formal or informal, with many shades of variation.

Formal assessment from others includes such processes as performance appraisals, customer evaluations, 360-degree feedback, organizational surveys that measure employee satisfaction with managers, and evaluations and recommendations from consultants. Informal assessment data from others are available more regularly through less structured processes: asking a colleague for feedback, observing others' reactions to one's ideas or actions, being repeatedly sought out to help with certain kinds of problems, or receiving unsolicited feedback from a boss. Self-assessment can also occur through formal and structured means, as with psychological inventories or journaling, or through informal and often in-the-moment processes, such as monitoring of internal states, reflecting on decision processes, or analyzing mistakes.

Assessment gives people an understanding of where they are now: their current strengths, the level of their current performance or leader effectiveness, and their primary development needs. So one important function of assessment data is providing a benchmark for future development. Another is stimulating people to evaluate themselves: What am I doing well? Where do I need to improve? How do others see me? In what ways do my behaviors affect others? How am I doing relative to my goals? What's important to me?

Still another function is providing information that helps people answer these questions. In the context of their everyday work, people may not be aware of the degree to which their usual behaviors or actions are effective. In the face of a new challenge, they may not know what to continue doing and what to change. Even if they realize that what they are doing is ineffective, people may believe that the answer is merely to work harder; it may not occur to them to try a new strategy. But when an experience provides feedback on how one is doing and how one might improve or provides other means for critical self-reflection, the result can be an unfreezing of one's current understanding of oneself to facilitate movement toward a broader and more complex understanding.

Assessment information also points out the gaps between a person's current capacities and performance and some desired or ideal state. The desired level might be based on what the job requires, what someone's career goals demand, what other people expect, or what people expect of themselves. This gap is one of the keys to why developmental experiences motivate learning, growth, and

change. If the area is something that is important to them and if they believe in the accuracy of the assessment data, people work to close the gap by improving their current capacities. If the data indicate no gap—that in fact someone is quite effective in a particular area—then the outcome of the assessment can be increased self-confidence. As a result, the person may seek out more opportunities to use and refine the strength.

Good assessment data also help people clarify what they need to learn, improve, or change. Having data not only motivates a person to close the gaps but also provides clues as to how those gaps might be closed. For example, if a leader learns that part of the reason for low morale in his work group is his pattern of not delegating important work to others (which, he comes to understand, is grounded in his perfectionism), then improving morale involves learning how to let go of work, including how to be more in touch with his perfectionist tendencies so that they can be better managed. If a person's frustration at work is diagnosed as being partially caused by low tolerance for ambiguity, she can focus on ways to increase her tolerance or to shape situations so that they are less ambiguous.

Assessment contributes to the power of leader development because assessment processes, formal or informal, help people fully understand their situation and become motivated to capitalize on the learning opportunities available to them. However, assessment processes and practices operate differently and with varying impact in different contexts. For example, there may be cultural differences in what is considered appropriate in terms of assessment. Acceptance of 360-degree feedback practices may vary widely depending on cultural norms. What should be assessed may vary as well. A major study of global leaders, GLOBE, found that although some leadership attributes such as trustworthiness are valued everywhere, there can be important differences between countries in preferred leader attributes (Javidan, Dorfman, Sully de Luque, and House, 2006). A variety of other studies of cross-cultural differences agree that the desirability of particular leader behaviors can vary by culture (Hofstede, 2001; Inglehart, 1997; Schwartz, 1999; Trompenaars and Hampden-Turner, 1998).

Challenge

Developmentally, the experiences that can be most potent are the ones that stretch or challenge people. People tend to go about their work using comfortable and habitual ways of thinking and acting. As long as conditions do not change, they usually feel no need to move beyond their comfort zone to develop new ways of

thinking and acting. In a comfortable assignment, people base their actions on well-worn assumptions and existing strengths, but they may not learn much from these opportunities. The same is true for a comfortable relationship, feedback that confirms, or training in skills that have already been mastered. In all such cases, comfort is the enemy of growth and continued effectiveness.

Challenging experiences force people out of their comfort zone. They create disequilibrium, causing people to question the adequacy of their skills, frameworks, and approaches. These experiences require that people develop new capacities or develop their ways of understanding if they are going to be successful. For example, a task force assignment can be developmental when the task is critical to the business, success or failure will be known, and task force members must present a recommendation for action to the senior executives of the organization, because challenge is embedded in the assignment. However, it is particularly developmental for people who have not faced such challenges before.

People feel challenged when they encounter situations that demand skills and abilities beyond their current capabilities or when the situation is very confusing or ambiguous and current ways of making sense of the world no longer seem to work. In that sense, the degree of challenge an individual experiences is a result of the difference between the person's current skills and perspectives and the demands of the development opportunity. For some people, challenge might mean being caught in the middle of a conflict where others are making demands that seem to call for resolution in opposite ways. For others, challenge might mean struggling to empower subordinates who do not take initiative and seem to resist taking a personal stake in their work. And for others, challenge might come in the form of work in a complex environment, where it becomes less clear what "results" means or how to achieve them.

So what are the elements of situations that can stretch people and motivate development? In other words, what are the sources of challenge? Mainly they are novelty, difficult goals, conflict, and dealing with adversity.

Novelty is a common source of challenge. Experiences that require new skills and new ways of understanding oneself in relation to others can be the most challenging. These situations are often quite ambiguous, requiring much discovery and sense making by the newcomer. The power of new experiences is illustrated in Linda Hill's in-depth study (1992) of men and women during their first managerial assignment. Hill found that becoming a manager required more than learning new skills and building relationships. Rather, it was a profound

transformation, one that caused them to think and feel in new ways—to actually develop a new identity.

Difficult goals, whether set by oneself or by others, are another source of challenge. People often respond to difficult goals by working harder. But they may also discover that extra effort is not enough and that they have to work differently in order to reach the goal. Executives report that some of the toughest assignments in their careers are starting-from-scratch assignments in which they have the challenging goal of building something from nothing—and usually have to do it quickly, with little structure in place and little experience (McCall, Lombardo, and Morrison, 1988). To succeed, they have to let go of normal operating procedures and learn as they go, using whoever and whatever is available to solve problems. Leaders who go through formal leadership development programs are often faced with the difficult goal of changing their own behavior or risking endangerment of their group's performance or their own career goals. Again, this difficult goal is a source of challenge and thus is a potential stimulus for learning and growth.

Situations characterized by conflict, either with someone else or within oneself, can also be a source of challenge. Effectively dealing with conflict with a person or group requires developing an understanding of other perspectives, becoming better able to differentiate others' points of view from one's own, and perhaps reshaping one's own points of view. People face similar challenges when they experience incompatible demands that cause conflict within themselves—for example, meeting work and family responsibilities, working satisfactorily for both the boss and subordinates, or meeting customer needs in ways that do not overstress the organization. Ron Heifetz (1994), director of the Leadership Education Project at the Kennedy School of Government, Harvard University, sees the surfacing and orchestration of conflict as one of the hardest but most valuable tasks of leadership. In his view, conflict is the stimulus for mobilizing people to learn new ways. He gives the example of an industrial plant that was a major source of jobs for a community but was creating levels of pollution unacceptable to federal agencies. As community leaders were forced to deal with the conflict between jobs and health, they developed new ways of understanding the problem (as an issue of diversifying the local economy), which implied new courses of action for them to take.

Dealing with losses, failures, and disappointments can also stretch people. Job loss, business mistakes, damaging relationships, and similar events can cause a great deal of confusion, often stimulating a search for new meaning

and understanding. In CCL's work, we have found that these kinds of adverse experiences startle people into facing themselves and coming to terms with their own fallibilities. Adversity also teaches people how to persevere and cope with difficult situations. This is sometimes referred to as the *inoculation effect:* undergoing stressful experiences may render similar experiences in the future less distressing, primarily because the person has developed better coping strategies.

The element of challenge serves the dual purpose of motivating development and providing the opportunity to develop. Challenging situations motivate by causing disequilibrium and then capitalizing on people's need for mastery. When the outcomes of the situation matter to people, they are motivated to work toward meeting the challenge. This means becoming competent in new areas, achieving difficult goals, managing conflicts, and easing the pain of loss and failure. Mastering challenges requires putting energy into developing skills and abilities, understanding complex situations, and reshaping how one thinks.

Challenging experiences also provide opportunities to learn. People do not learn how to negotiate without having places to practice negotiation, test out different strategies, and see how people react. They do not gain broader perspectives without coming face-to-face with people who have different perspectives or with situations that do not fit neatly into how they think about the world. People do not learn to cope with stress without feeling stress and figuring out how to decrease it. By engaging the challenge, people interact with the environment in a way that produces the information, observations, and reactions needed to learn. Participating in leadership roles and processes is often the source of the challenge needed for leadership development. Leadership roles and processes are full of novelty, difficulty, conflict, and disappointments. In other words, leadership itself is a developmental challenge. Leading is, in and of itself, learning by doing.

Finally, we emphasize the importance of a variety of challenges for developing the wide range of capacities that leaders need. We emphasize this because we have found that people learn different lessons from different kinds of experiences. From a "fix-it" job, leaders can learn toughness, the ability to stand on their own two feet, and decisiveness. From leaving a line job for a staff position, leaders have the opportunity to learn how to influence individuals over whom they have no direct control. From a formal leadership program, participants learn how to step back from the day-to-day routine and develop a deeper understanding of their preferences, strengths, and blind spots. From an effective boss, leaders learn important values such as fairness and sensitivity to the concerns of others. From

an adverse situation, people can recognize their limits and learn how to deal with stress. All are important leadership lessons, and each is learned from a different type of experience. Thus, a variety of challenging experiences throughout their careers is an important ingredient for developing versatile leaders.

Support

Although developmental experiences stretch people and point out their strengths and weaknesses, such experiences are most powerful when they include an element of support. Whereas in the ACS model, the element of challenge provides the disequilibrium needed to motivate people to change, the element of support in an experience sends the message that people will find safety and a new equilibrium on the other side of change. Support helps people handle the struggle and pain of developing. It helps them bear the weight of the experience and maintain a positive view of themselves as capable, worthy, valuable people who can learn and thereby grow.

Practices associated with support vary widely, and support means different things to different people. For some, seeing that others place a positive value on their efforts to change and grow is a key factor in staying on course with development goals. For others, having the resources and freedom to move forward on self-initiated goals is the needed support. And there are cultural differences in the appropriateness of various kinds of personal support in organizations. In the United States, the national preference for competition may make it hard to reach out for support and counsel. Reliance on others may be far more accepted in other countries. Furthermore, some developmental experiences, such as expatriate assignments or a senior-level appointment at an early age, may require a different type or scope of support than do others.

Regardless of the experience or context, often the most important source of support is other people: bosses, coworkers, family, friends, professional colleagues, coaches, and mentors—people who can listen to stories of struggle, identify with challenges, suggest strategies for coping, provide needed resources, reassure in times of doubt, inspire renewed effort, celebrate even the smallest accomplishments, and cheer from the sidelines.

Different people may provide different kinds of support. For example, the new managers in the Hill study cited earlier relied heavily on peers to release their pent-up frustrations and find emotional support. Those who had developed close relationships with former bosses often turned to those individuals when

struggling with difficult questions. We have also found that the support of one's current boss is particularly important when trying to change behaviors or learn new skills. Bosses can be a strong source of reinforcement for the desirability of the targeted development, and they can provide the resources needed for successful learning and change.

Support can also come from organizational cultures and systems, taking the form of norms and procedures. Organizations that are more supportive of development have a closely held belief that continuous learning and development of the staff are key factors in maintaining organizational success, and they tend to have systems in place that support and reinforce learning. They have systems for helping people identify development needs and work out plans for addressing them. They use a variety of development strategies, make resources available for learning, and recognize and reward efforts to learn and grow. Feedback, cross-group sharing of knowledge and information, and learning from mistakes are part of their organizational culture.

Support is a key factor for leaders in maintaining their motivation to learn and grow. It helps engender a sense of self-efficacy about learning, a belief that one can learn, grow, and change. The higher their self-efficacy, the more effort people exert to master challenges and the more they persevere in difficult situations (Bandura, 1986). Support also serves as a social cue that puts a positive valence on where people are currently and on the direction in which they are moving. They sense, "If other people support me in doing this, it must be something valuable to do."

Support mechanisms also provide learning resources. By talking to others about struggles, openly examining mistakes, and seeing to it that the organization reacts positively to the changes they make, people have the opportunity to confirm and clarify the lessons they are learning. They get the sense that they are on the right track, that the feedback they are receiving is legitimate, and that the new ways in which they are making sense of their situations are shared by others or will work toward making them more effective.

If people do not receive support for development—that is, if their environments, coworkers, bosses, friends, and family do not allow and encourage them to change—the challenge inherent in a developmental experience may overwhelm them rather than foster learning. For a sales manager on a key cross-functional task force, beginning to understand and value the dilemmas of the manufacturing engineer on the task force may be the initial step in developing a broader perspective. But what if she is thwarted by a boss who constantly reminds her

not to give in to what he refers to as ''the unrealistic demands of those bozos in engineering.'' As another example, an organization that wants to develop more effective teamwork is unlikely to make progress if it continues primarily to reward individual contributions.

In summary, the key elements that make any experience more developmental are assessment, challenge, and support. Whether designing a training program, providing 360-degree feedback, putting someone in a developmental job assignment, or matching an individual with a mentor, one needs to ensure that all three elements are part of the experience, with adequate attention to contextual factors such as culture, business environment, and characteristics of the target population.

WHAT DEVELOPS IN LEADER DEVELOPMENT

Although some cognitive abilities and personality traits are more or less innate and appear to remain stable over time, many human capabilities that contribute to effective leadership can be developed and improved. We have identified many of these capabilities that better enable individuals to carry out the leadership tasks of setting direction, gaining commitment, and creating alignment. Some capabilities involve how individuals manage their own thoughts, feelings, and actions—in other words, leading oneself. Other capabilities reflect how individuals work with others in a social system—leading others. A final set reflects how individuals facilitate the accomplishment of organizational work—leading the organization.

Leading Oneself

People develop more effective ways to manage themselves—their thoughts, emotions, attitudes, and actions—over time. The capacity for self-management enables leaders to develop positive and trusting relationships and to take initiative—important aspects of roles that help people work together in productive and meaningful ways. Self-management capabilities include self-awareness, the ability to balance conflicting demands, the ability to learn, and leadership values.

Self-Awareness A key aspect of understanding oneself is having awareness of personal strengths and weaknesses: what one does well and not so well, what one is comfortable with and uncomfortable with, which situations bring out one's personal best and which are difficult to handle. But self-awareness also means that people must understand why they are the way they are: what traits, learned preferences, experiences, or contextual factors have shaped their profile of strengths and weaknesses. Self-awareness means understanding the impact their strengths and weaknesses have on others, on their effectiveness in various life roles, and on reaching their goals. In this era of globalization, self-awareness also includes awareness of one's own cultural assumptions and biases and how one's identity has been shaped by one's own cultural surround.

Ability to Balance Conflicting Demands In organizational life, people encounter conflicting demands. For example, boss and subordinates may have different priorities, internal systems may not match external client needs, and the joint demands of personal and work life may cause stress. People must learn to not let the conflicts paralyze or overwhelm them, understand the natural roots of the conflicts, and develop strategies for balancing or integrating them.

Ability to Learn When we say someone has the ability to learn, we mean that the person recognizes when new behaviors, skills, or attitudes are called for; accepts responsibility for his or her own development; understands and acknowledges current personal strengths and weaknesses; engages in activities that provide the opportunity to learn or test new perspectives and behaviors; reflects on his or her own learning process; and works to develop a variety of learning tactics in order to acquire needed skills. A person with the ability to learn does not deny or ignore the need for new approaches, does not get stuck using habitual behaviors or outmoded skills, and is not seduced by past success into believing that no change or development is necessary.

Leadership Values We have found that people who project certain personal values are particularly effective in leadership roles. Foremost among these are honesty and integrity, which engender trust and credibility with others. Strong personal initiative and drive are needed to persevere in the face of difficult

organizational goals. A positive, optimistic attitude supports both individual and group efficacy.

Leading Others

People develop many interpersonal and social skills over the course of their lives. Because leadership roles and processes are, by their very nature, social (meaning that they require making meaningful connections to others), the ability to work effectively with others in social systems is a fundamental capacity of leaders. Social capabilities include the ability to build and maintain relationships (particularly with people who are different from oneself), the ability to build effective work groups (including the ability to bridge differences), communication skills, and the ability to develop others.

Ability to Build and Maintain Relationships At the heart of social capabilities is the ability to develop cooperative relationships. In leadership roles, the ability to develop positive relationships with many different types of people is particularly important. The foundation of this ability is the capacity to respect people from varying backgrounds and to understand and value the diverse perspectives that they bring.

Ability to Build Effective Work Groups People in leadership roles need not only to develop their own relationships with others but also to facilitate the development of positive relationships among others who work together. Particularly in global organizations, the ability to bridge differences within and across work groups is an important capability for leaders at all levels.

Communication Skills Communication skills operate in two directions. In addition to being able to communicate information, thoughts, and ideas clearly in different media, individuals with effective communication skills are able to listen carefully and understand what others are saying, thinking, and feeling, regardless of differences in age, culture, or the like.

Ability to Develop Others Leadership roles often call for the ability to develop others in ways that allow people to work together in increasingly productive and meaningful ways. This includes the ability to help others diagnose their development needs, provide appropriate feedback and other learning opportunities,

coach and encourage changes in their behavior, and recognize and reward improvements.

Leading the Organization

People develop skills and perspectives that enable them to facilitate the accomplishment of work in organizational systems. Organizations consist of many individuals, groups, and subsystems that need to work interdependently to accomplish collective goals and outcomes. Individuals in leadership roles facilitate the implementation, coordination, and integration of this work. Work facilitation capabilities include management skills, the ability to think and act strategically, the ability to think creatively, and the ability to initiate and implement change.

Management Skills Management skills encompass a broad range of competencies related to the facilitation and coordination of the day-to-day work in organizations, including setting goals and devising plans for achieving those goals, monitoring progress, developing systems for accomplishing work, solving problems, and making decisions.

Ability to Think and Act Strategically Day-to-day work is accomplished in the context of broad organizational objectives that support the long-term vision and mission of the organization. People who can think and act strategically have a clear sense of the desirable collective future. They make decisions, set priorities, and support initiatives that will bring the current reality more in line with the desired future. In a global environment, they are able to balance strategic global needs and local priorities.

Ability to Think Creatively Creativity encompasses seeing new possibilities, finding connections among disparate ideas, and reframing the way one thinks about an issue. Creativity yields innovation when novel ideas or perspectives are used to solve difficult problems. Implementing innovations also requires an element of risk taking, of going into uncharted territory and leaving the familiar behind.

Ability to Initiate and Implement Change Leadership roles often require the ability to make major changes in organizational systems and practices. This includes establishing the need for change (for example, by demonstrating that

current ways of working are no longer adequate), influencing others to participate in the change, and institutionalizing the new ways of working.

Although by no means exhaustive, our description of individual capabilities illustrates the breadth of capabilities needed to provide leadership in organizations. Developing any of these capabilities requires motivation, feedback, mindfulness, practice, and more practice in new situations. One can see how leader development can be an ongoing, lifelong pursuit.

ENHANCING LEADER DEVELOPMENT

A key assumption underlying our work is that leader development can be fostered by intervening in the learning, growth, and change processes of individuals. If leaders do learn, grow, and change over time and if we understand the factors that contribute to that growth process, development can be enhanced by influencing these processes. The leader development model suggests three main strategies for this process:

1. Create a variety of rich and integrated developmental experiences that provide assessment, challenge, and support.
2. Enhance people's ability to learn from experience.
3. Align leader development with the leadership context.

Creating Rich Developmental Experiences

Many types of experience can develop a person's leadership abilities. Significant among them are the formally designed developmental experiences of 360-degree feedback, feedback-intensive programs, and coaching relationships, as well as the more naturally occurring experiences of job assignments, developmental relationships, and adversity. The developmental potency of any one of these experiences depends on whether it contains a good mix of assessment, challenge, and support.

For example, although a feedback-intensive program focuses on assessment, it must also challenge the participants and at the same time support them. The element of challenge comes from exercises and simulations used in these programs, which are deliberately designed to take people out of their comfort zone, and from interactions with other participants, who often challenge participants' points of view. At the same time, these programs take great care to create

a supportive environment in which people can be candid and hear negative information about themselves, while the positive information they get shores up their self-confidence.

Job assignments are another example. They can be particularly rich sources of challenge, but if people are to learn from assignments, they must have opportunities to receive ongoing feedback while struggling with the challenge. People in challenging assignments also need others they can turn to for support, as well as a feeling of support from the organization in general.

Enhancing the Ability to Learn

Learning from experience involves recognizing when new behaviors, skills, or attitudes are called for; accepting the responsibility for development; understanding and acknowledging current strengths and weaknesses; engaging in activities that provide the opportunity to learn or test new skills and behaviors; reflecting on one's own learning process; and working to develop a variety of learning tactics in order to acquire the needed skills or behaviors. The person does not deny or ignore the need for new approaches, does not get stuck using habitual behaviors or outmoded skills, and is not seduced by past success into believing that no change or development is necessary.

Because of its central role in leader development, the ability to learn requires special attention in efforts to develop leaders. Scholars and practitioners have accumulated a vast amount of knowledge about the processes of learning and development, and leaders need to be exposed to the insights from this work. Leaders need assessment, challenge, and support for developing effective learning skills, such as getting honest feedback and drawing lessons from their own experiences. They need ways to identify their preferred learning styles and tactics and opportunities to experiment with new ones. They need the challenge and support of coaches, mentors, and coworkers to try new approaches and break ingrained habits. And they need to be evaluated and rewarded for learning, not just for their performance.

Aligning Leader Development with the Context

Creating rich developmental experiences and equipping people to learn are two strategies for enhancing leader development. A third strategy is to align leader development with the leadership context. In other words, development is more likely when the development process is a good fit with the leader's context. For

example, participating in a leadership program for high potentials is a good fit for a leader who is motivated to move to higher levels in the organization but less so for one who is not. Or encouraging leaders to seek close mentoring relationships in the workplace is a better fit in some national cultures than in others.

The leadership context has multiple dimensions. There are broad aspects of context, such as societal culture and type of organization. There are role-based aspects of context, for example, whether the leader is a first-line supervisor or the CEO, an elected official or a grassroots community organizer. And there are many person-based aspects of context: the leader's gender and ethnicity, past experiences, motivations, and current leadership challenges, for example. Designing leader development processes that take these contextual factors into account enhances the likelihood of developmental outcomes. Organizations with effective leader development systems customize their initiatives for leaders in different contexts (for example, different organizational levels or geographies).

FROM LEADER DEVELOPMENT TO LEADERSHIP DEVELOPMENT

We have come to understand leader development as one aspect of a broader process of leadership development. We define *leadership development* as the expansion of a collective's capacity to produce direction, alignment, and commitment. A collective is any group of people who share work, for example, teams, work groups, organizations, partnerships, communities, and nations.

This move to a broader view of leadership development reflects CCL's own growth in our understanding and practice of leadership development. One way to see our early focus on individual leader development is to understand it as rooted, like much of Western psychology, in values of individualism and achievement. In the United States, self-sufficiency historically has contributed to our very survival. Consider the many immigrants who have come to the United States without friends or family and made a new life. Our political, economic, and cultural systems reflect this emphasis on individualism. Michael Hoppe (2004) notes that these American values are strongly reflected in CCL's approach to leader development. We have devoted considerable energy to understanding how individuals learn, grow, and change. We assume that individuals can and will change their behavior if they are sufficiently motivated.

Our natural tendency has been to place less emphasis on the communities and forces outside the individual. However, we are not solely individualists; a focus

on the collective is simply our less developed side. As globalization becomes a stronger force in the world, CCL's thinking has evolved to include a greater focus on leadership as a collective phenomenon. This change required us to revisit our basic understanding and definition of leadership and broaden our approach to leadership development.

A Broader Definition of Leadership

Viewing leadership development as the expansion of collective capacity to produce direction, alignment, and commitment requires a way of understanding the essential components of leadership that is a departure from how the leadership field has traditionally viewed these components (Drath et al., 2008). Traditionally leadership has been viewed as the process of leaders influencing followers toward shared goals. Here we view leadership as the process of producing direction, alignment, and commitment (DAC) in collectives. This view extends the basic understanding of leadership from seeing leadership as a particular process (leaders influencing followers toward shared goals) to understanding leadership as any process that produces DAC in a collective. It also reflects a broader understanding of who produces leadership: from understanding leadership as being produced solely by individuals who are recognized as leaders to understanding leadership as being produced by the entire collective.

Broadening our view of leadership was important for several reasons. First, a shift to defining leadership in terms of its outcomes allows us to better see how leadership can be realized in multiple ways. We have ample evidence that DAC can be achieved when leaders influence followers toward shared goals—particularly in today's organizations where asymmetrical power and hierarchical influence are common and accepted. However, collectives may use other processes to achieve these outcomes, for example, through the exchange of lateral influence among peers, the emergence of ideas and shared practices as people interact over time, and mutual adjustment among interdependent groups. Our perspective is that all work groups require DAC, but not all DAC is produced by leaders or by asymmetrical leader-follower relations. And we believe that focusing on the outcomes of DAC provides a common starting point for understanding leadership practices in diverse contexts—including in different nations, in tightly and loosely organized collectives, across the scale of the collective (dyads, teams, and organizations, for example), and in emerging contexts that are increasingly peerlike and collaborative (such as partnerships, consortia, and networks).

In addition, a shift to defining leadership in terms of its outcomes fits with the pragmatic bent of the managers and organizations we work with. They readily agree that the outcomes—direction, alignment, and commitment—are what their groups, teams, and organizations need to be effective and sustainable, particularly in contexts of complexity and change. And ultimately it is progress in realizing those outcomes that they are looking for in seeking CCL's help.

The second shift in our understanding of leadership—from leadership as primarily an achievement of individual leaders to leadership as an achievement of the collective—also broadens our perspective on leadership. Our perspective assumes that all members of a group, team, or organization are contributing to the achievement of DAC in that collective. Perhaps this is most easily seen in consensus-building leadership processes where everyone is contributing and interacting with one another to reach decisions. However, even the most directive top-down leadership process can be understood as requiring everyone's contribution. Individuals at the top may be more visible and influential—giving orders, orchestrating coordination, praising people for their effort. But it is the willing action of others to respond to orders, coordinate with others as they are told, and react positively to praise that equally contributes to an effective process, that is, for the process to produce DAC. Thus, even in this case, leadership can be viewed as an achievement of the collective.

The framework in Figure I.2 shows the elements of our view of leadership (Drath et al., 2008). The central element of the framework is leadership outcomes: DAC. Direction is shared in the sense that each member of the collective knows the aims and goals of the collective and knows that the other members know those aims and goals as well. Alignment is the coordination of knowledge and work in the collective. Commitment is the willingness of members of the collective to expand effort toward the needs of the collective over and above the effort needed to meet their individual goals.

Figure I.2
Elements of Leadership

Leadership Beliefs ↔ Leadership Practices
Leadership Culture
→ Leadership Outcomes: Direction, Alignment, Commitment (DAC)
→ Longer-Term Collective Outcomes

The framework assumes that individuals hold beliefs about what constitutes DAC (that is, what these look like), as well as how to produce DAC (*leadership beliefs*). For example, an individual could believe that direction comes from a leader's vision, or that people in a work group can align themselves through mutual adjustment, or that commitment is best generated by shared goals. Over time, individuals within a collective learn about one another's beliefs and influence one another in the beliefs they hold. Some beliefs may become widely shared, forming collective beliefs. Some leadership beliefs become instantiated in practice. A *leadership practice* is an individual behavior or a pattern in the behavior of a collective aimed at producing DAC. The system of beliefs about how to produce DAC and the resulting practices aimed at producing DAC can be thought of as the *leadership culture* of the collective. Note that the word *culture* is modified by *leadership.* Organizations, industries, communities, and nations have other types of culture as well. All types of culture (for example, organizational culture, national culture) represent relatively stable patterns of beliefs, values, norms, and practices. A leadership culture is a more or less stable pattern in a collective's approach to the production of DAC. For example, to generate direction, organizational members may rely on an executive team to develop broad strategic goals for the organization, which the various units then use as a guide to set their own priorities. Or a team may generate commitment by involving all team members in critical decisions.

The framework also assumes that the effectiveness of leadership can be assessed in the short term by the degree of DAC produced. The longer-term criterion for effective leadership is the attainment of the purposes and long-range goals of the collective. The extent to which a collective is successful in attaining its longer-term outcomes depends on more than DAC. Other factors in the collective's shared work and in the environment, such as technologies, competitors, and social changes, also bear directly on longer-term outcomes. So leadership matters, but it is not all that matters.

A Broader Approach to Leadership Development

Viewing leadership as a collective phenomenon has a number of implications for leadership development. First, the leadership culture—rather than the individual leader—becomes the target for leadership development. The goal of leadership development is to increase the degree to which the collective's culture produces DAC. Certainly the leadership culture is made up of individuals who are

relied on to participate effectively in these practices; thus, developing individual motivation and skill is critical. Hence, individual development remains an important aspect of leadership development. For example, teams that expect to generate commitment by involving all team members in critical decisions need members who are equipped to contribute effectively to such decision-making processes. However, other aspects of the leadership culture may also need to develop, for example, trust among team members, the shared mental models that the team members have about their work, or the larger organizational systems that hold the team accountable (or not) for its decisions. Furthermore, it could be that the practice itself does not work, for example, involving team members in critical decisions is not producing DAC; in this case, leadership development also requires reevaluating and potentially changing the practices and the beliefs that give rise to them. Thus, leadership development can include individual development, relationship development, team development, organization development, changes in patterns of behavior in the collective, and changes in organizational systems and processes. Leadership development becomes much more of a process within which the whole collective engages. And diagnosing leadership development needs becomes an assessment of the entire leadership culture.

In Part Two of this book, the chapter authors explore methods of leadership development in more detail. These methods include:

- *Developing the collective's shared beliefs about leadership* (that is, about producing DAC). Leadership development means introducing models for thinking about how to produce DAC—for example, in a team setting, across diverse groups, or in support of longer-term outcomes such as environmental sustainability; and helping collectives to surface and evaluate their own beliefs and practices in relation to these models.
- *Developing the collective's leadership practices.* Simulations and action learning projects provide a setting for groups to experiment with new leadership practices together. Team coaching and using coaches to facilitate intergroup interactions can encourage and support new leadership practices. Leadership practices, however, are supported or discouraged by organizational systems and processes. Part of developing new leadership practices is aligning existing systems and processes to support those practices.
- *Evaluating the collective's ability to produce DAC.* Teams, organizations, and communities are more likely to examine their assumptions about leadership

and experiment with new leadership practices when their current mind-sets and practices are not producing the needed DAC for achieving desired long-term outcomes. Methods that encourage shared reflection and evaluation of leadership outcomes within the collective, such as organizational assessments or computer-based decision support systems that foster widespread participation, can motivate exploration and experimentation with new approaches to leadership.

A broader view of leadership development provides new insights into why some leader development initiatives are more successful than others at generating change in individual behavior that has an impact on the organization in positive ways. To have impact, the capabilities being developed in the individual leader need to mesh with the leadership cultures in which the leaders are embedded. For example, developing a leader's capability to work collaboratively across organizational boundaries will have more impact when the leadership culture enacts boundary-spanning collaboration as a means of generating DAC for important organizational goals and outcomes. If this is not an aspect of the leadership culture, and perhaps even countercultural (for example, DAC is achieved when independent units are directed and coordinated from above), then developing leaders' collaboration capabilities would seem like a waste of time. Nor would developing these capabilities magically transform the leadership culture from one that valued competition more than collaboration. Such a transformation would require change in the collective leadership beliefs and practices and thus development beyond the individual.

In summary, moving from leader development to leadership development reflects a broader perspective on what leadership is and on the targets and methods of leadership development. We are not alone in working to develop this broader perspective. We look in particular to colleagues working in the arenas of shared and distributed leadership (Gronn, 2002; Pearce and Conger, 2003), complexity leadership (Uhl-Bien, Marion, and McKelvey, 2007), and relational views of leadership (Ospina and Sorenson, 2006; Uhl-Bien, 2006) for insights, encouragement, and advancement of these ideas.

CONCLUSION

To sum up, let us return to the leadership development model and the assumptions behind it. First, we define *leader development* as the expansion of a person's

capacity to be effective in leadership roles and processes. Second, we believe that developing the individual capacities needed for effective leadership—such as self-management, social skills, and work facilitation capabilities—is synonymous with what is often labeled "personal development." This development unfolds over time. It is maximized by a variety of experiences that challenge people, support them, and provide them with understanding of how they are doing. It also depends on their having an ability and willingness to learn from experience. Leader development processes that integrate various experiences and embed them in the organizational context are the most likely to be effective at developing leaders' abilities. But we realize that *leader development* and *leadership development* are not synonymous. We see leadership development as the expansion of the organization's capacity to produce direction, alignment, and commitment. And we are enhancing our knowledge and expertise in the aspects of leadership development that go beyond individual development.

If there is one key idea to our view of leadership development—an overarching theme that runs throughout our work—it is that leadership development is an ongoing process. It is grounded in personal development, which is never complete. It is embedded in experience: leaders learn as they expand their experiences over time. It is facilitated by interventions that are woven into those experiences in meaningful ways. And it includes, but goes well beyond, individual leader development. It encompasses the development of the connections among individuals, the development of the capacities of collectives, the development of the connections among collectives in an organization, and the development of the culture and systems in which individuals and collectives are embedded.

PART ONE

Developing Leaders

chapter ONE

Leader Development Systems

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It probably goes without saying that organizations have an ongoing need for effective leaders. And although organizations bring effective leaders into the organization through recruiting and hiring processes, a significant part of the ongoing need is met through leader development. In the Introduction to this handbook, *leader development* is broadly defined as the expansion of a person's capacity to be effective in leadership roles and processes. For organizations, developing leaders includes enhancing their performance in current roles, improving their ability to carry out the tasks of leadership in ways congruent with changing organizational realities, and, for some, expanding their capacity to take on higher positions.

With a continuing need for effective leaders, organizations set up various processes, practices, activities, and roles to develop them; in other words, they craft leader development systems. A system is broader than a leader development initiative or a curriculum. It encompasses all aspects of the organization that contribute to producing effective leaders. This chapter focuses on the elements of a leader development system and advocates for an intentional and mindful approach to designing, shaping, and refining that system.

We find it useful to think about a leader development system from four perspectives: purposes served by the system, segments of the leader population

being developed, methods of development, and an organization's climate for development.

PURPOSES SERVED BY LEADER DEVELOPMENT

Three purposes commonly direct an organization's development of leaders:

- *Performance improvement.* An organization needs leaders who are highly effective in their current roles, so it invests in strategies and tactics to develop leaders in this regard. For example, it might provide first-time supervisors with special training to help them better understand their new role and develop skills needed in that role. Or it might have a performance management process that identifies how individual leaders can be more effective and helps them develop a plan for individual improvement.
- *Succession management.* Organizations need some leaders who can take on the increased complexity and scope of higher-level management positions—that is, leaders who can effectively move up in the organization. Therefore, they invest in identifying high-potential leaders and giving them extra developmental attention. When this purpose is foremost, stakeholders in the organization talk about the need for bench strength (people ready to move into particular positions or levels in the organization) and a robust pipeline of leaders (people identified and being developed for higher-level positions).
- *Organizational change.* Organizations constantly adapt and reshape themselves to remain competitive, ideally in line with an articulated business strategy. Many organizations have adopted strategies that emphasize growth through acquisitions, emerging markets, innovation, globalization, or operational efficiency. Typically these organizational change initiatives require new behaviors, skills, or competencies from leaders. Processes are then put in place to develop and support these new leader capabilities—for example, targeted development programs, changes in the organization's leader competency model, or changes in what leaders are rewarded for.

Within each of these three broad purposes, leader development serves more specific needs, many of which are similar across organizations. However, at any moment in time, organizations may also target needs that are unique to their current circumstances and pay special attention to certain aspects of their leader development system. Table 1.1 provides examples of these unique needs and organizational responses.

Table 1.1
Organizational Needs Served by Leader Development

	Typical Needs Served by Leader Development	Examples of Unique Organizational Need and Leader Development Response
Performance improvement	Successful transitions to new jobs: Getting leaders quickly up to speed and integrated within a new group	Unacceptable failure rates in expatriate assignments lead to more learning structures and support for those taking on such assignments.
	Socialization: Transmitting important organizational values and developing the leader's effectiveness at enacting those values	Hiring more leaders into middle management jobs from outside the organization creates the need for an intentional socialization process as they join the organization.
	Continuous learning: Engaging leaders in ongoing self-improvement	Employee dissatisfaction with developmental opportunities in the organization stimulates efforts to better equip managers with the ability to help others with their development.
Succession management	High-potential development: Preparing leaders to successfully take on higher-level responsibilities	Low bench strength for general management positions leads to the launch of a development initiative targeted at high-potential managers two levels below general management.
	Successful transitions to new levels: Helping leaders learn as they move to higher levels of responsibility	Rapid growth in Asia brings extra developmental attention on those moving into management jobs in Asia.

(*continued*)

Table 1.1
(*continued*)

	Typical Needs Served by Leader Development	Examples of Unique Organizational Need and Leader Development Response
Organizational change	Support of strategic initiatives: Developing leaders' ability to execute articulated organizational strategy	An organization's strategy to differentiate itself in the market through innovative products and services leads to a strategy for developing managers' ability to lead innovation teams.
	Adaptation to changing external conditions: Developing leaders' ability to lead in new contexts	Business growth in India, China, and Russia creates increased need to partner with other organizations and, in turn, increased efforts to develop leaders' ability to work effectively across boundaries.

Examining the purpose of leader development systems brings into focus the fact that leader development systems do more than just produce effective leaders; they also serve broader organizational needs. Thus, a first step in being more intentional and mindful about the organization's leader development system is to assess how well the organization's needs for effective leaders are being met and to identify important gaps that the system needs to address.

Typical questions that organizations ask about the performance of current leaders include:

- What percentage of current leaders are meeting performance standards?
- To what extent are performance standards being met across all types of leadership positions?
- What do current leaders do really well? On what dimensions do they need to improve their performance?
- What proportion of leaders are embracing and modeling the organization's espoused values and beliefs?

Questions about succession management focus on the organization's leadership bench strength and pipeline of leaders—for example:

- How many successors have been identified for key leadership positions in the organization?
- To what extent does the organization have adequate numbers of individuals being prepared for higher management positions?
- How diverse is the pool of high potentials (for example, in terms of gender, ethnicity, education, functional background, and country of origin)? How well does this level of diversity meet organizational needs?

And finally questions address the leadership implications of organizational change—for example:

- Will more or different types of management positions be created as a result of the change? Will these positions be filled by internal staff or hired from the outside?
- What leader competencies will be particularly important for executing the business strategy? To what degree do current leaders have these competencies?
- What organizational beliefs and values will be particularly important for executing the strategy? To what degree will these beliefs and values be embraced by leaders in different regions of the organization's global operations?

Note that some questions focus on quantity (What percentage of current leaders are meeting performance standards?), some on qualities of leaders (How diverse is the pool of high potentials?), some on leader skills and abilities (What leader competencies will be particularly important for executing the strategy?), and some on cultural beliefs and values (To what degree will needed beliefs and values be embraced by leaders in different parts of global operations?). Each of these dimensions is important for assessing leadership from a system perspective (Pasmore and Lafferty, 2008).

Clearly a leader development system needs to be closely linked to the organization's performance management and succession management systems and to its strategic change initiatives. From these can be derived the goals and objectives of the leader development system. For example, in early 2009, GlaxoSmithKline (GSK) launched a corporate-level Leadership and Organization Development Center of Excellence. Although the organization was already

known for its leader development capability (Hewitt Associates, 2007), its new center of excellence concept was indicative of a new strategy within GSK, one that aimed to create more alignment across an organization that had grown through mergers and acquisitions and had been managed primarily in a decentralized fashion. Two immediate priorities for the Center of Excellence were to (1) ensure consistent world-class leader development for first-level supervisors across the enterprise because this large and geographically dispersed population of leaders was essential for managing the performance of frontline employees, and (2) invest in the development of general managers—a critical population of GSK leaders for whom performance expectations were changing. The CEO was also promoting an organizational culture of empowerment to support strategic changes in the business: developing a diversified global business, delivering more products of value, and simplifying GSK's operating model. The Center of Excellence also took on the objective of supporting this culture change, including working with the organization's leadership framework to better articulate the capabilities and expectations of an empowering leader.

Tools for Assessing the Organization's Need for Effective Leaders

Three kinds of tools can help organizations articulate and monitor their needs for effective leaders: leader competency models, leadership metrics, and forums for the regular review of leader effectiveness in the organization. All three are needed for developing a more intentional leader development strategy.

Leader Competency Models To describe what effective leadership entails, organizations create frameworks or models to summarize the knowledge, skills, and perspectives that distinguish superior leadership performance and hence point to what needs to be developed in leaders (Berke, Kossler, and Wakefield, 2008; Lucia and Lepsinger, 1999). These frameworks are most often referred to as *competency models,* although organizations may use other labels, such as *success factors, leadership models,* or *standards of leadership.* Competency models typically delineate eight to sixteen competencies that contribute to a leader's effectiveness, often given in great detail—for example, indicating low, moderate, and high levels of behavior with respect to a given competency. Competency models are also often tailored to organizational level because required knowledge, skills, and perspectives broaden and change as individuals take on higher leadership roles.

Leader competency models serve multiple functions in a leader development system. First, they promote a shared understanding within the organization of what characterizes effective leaders and thus what kinds of leaders the development system needs to be producing. Second, they serve as a benchmark for assessing the performance of leaders—data that are important for designing developmental interventions. And finally, they serve an integrating function in the system. When the same competency model is used in various leader development processes, it not only reinforces the model but creates stronger links among the processes. For example, when a competency model is the basis for feedback to managers during performance appraisal discussions and the basis for a series of leader development programs, managers can more readily use the feedback to choose an appropriate program for development and are clearer about why they will benefit from the program.

Organizations use different methods to arrive at a competency model: (1) they may adopt an existing competency model because it comes from a reputable source, has been used successfully across organizations, and has high face validity within the organization; (2) they may create a model from scratch, involving numerous stakeholder groups within the organization to arrive at some agreement about the most important leader competencies in their organization; or (3) they may begin with an existing framework in the organization, such as a set of organizational values or strategic priorities, and derive a set of competencies needed to deliver on that set of values or priorities. Whatever process is used, the goal is to arrive at a set of competencies that are relevant, meaningful, and widely understood in the organization.

One challenge in establishing a competency model in multinational organizations is the trade-off between having a consistent model across countries and having a model that allows local differentiation. A global model supports a shared understanding of organizational expectations of leaders, which in turn facilitates consistency in the evaluation of managers, the movement of managers across regions, and the design of leader development tools that can be used across the company. Allowances for local differentiation recognize that in different cultures, similar competencies might be recognized by different terms and can manifest themselves in different behaviors, and managers are embedded in local contexts that vary in terms of what is expected from them as leaders. Organizations need to be mindful of this global-local tension and deliberate in the trade-off choices that they make—with rationales for the resulting approach widely communicated.

Examples of competency models are shown in Table 1.2 and Figure 1.1. Both models illustrate the usefulness of connecting leader competencies to existing organizational frameworks and broader goals. PepsiCo's competency model set out in Table 1.2 is grounded in a set of three leadership imperatives (setting the agenda, taking others with you, and doing it the right way) that have been central to the organization's culture for over fifteen years (APQC, 2006). These imperatives provide a simple sense-making framework for understanding the importance of the leadership success factors and the more detailed competencies. The seventeen competencies are at the level of specificity needed for the organization's 360-degree feedback process. The leadership model used at Ketchum (Figure 1.1), a global public relations and marketing firm, highlights the connection between leader competencies (Ketchum's Leadership Brand) and the organization's vision and client commitments (Ketchum's Brand)—with both

Table 1.2
PepsiCo's Leader Competency Model

Leadership Imperatives	Success Factors	Competency Dimensions
Setting the agenda	Planning	Thinking skills Innovation Strategic tools
	Execution	Establishes priorities Drives for results
Taking others with you	Courageous leadership	Change leadership Motivates others Collaboration
	People development	Builds talent Inclusion Supports others
	Savvy communication	Communicates productively Negotiation
Doing it the right way	Integrity	Inspires trust Walks the talk
	Operational excellence	Knows the business Functional excellence

Source: Adapted from APQC (2006).

driven by client expectations, employee needs, and organizational capabilities. The model also recognizes the uniqueness of each leader, encouraging leaders to craft their own individual leadership brand through integrating their experiences and values with the organization's leadership brand.

Leadership Metrics Leadership metrics are sets of aggregated data about the quantity, qualities, skills and abilities, and cultural impact of leaders in the

Figure 1.1
Ketchum's Leadership Model

Ketchum's Brand

Passion and precision in communication
We give credible voice to incredible ideas

Commitment to Clients:
Strategic business partnership
Extraordinary creativity and innovation
Exceptional professionalism
Measurable business impact

Client Needs and Expectations

Ketchum's Leadership Brand

- Drives performance and accountability
- Inspires excellence
- Communicates clear, progressive direction
- Grows and retains great talent
- Leads by example in meeting client needs
- Takes whole agency view
- Demonstrates respect and integrity
- Fuels a passion for creativity and innovation

Employee Needs and Organizational Capabilities

Individual Leadership Brand

Authentic Self
Experiences
Values

Source: Ketchum, Inc. Used with permission.

Table 1.3
Examples of Leadership Metrics

Quantity	**Growth rate of new management positions in the organization**
	Speed at which open positions are filled
	Percentage of leaders who are assessed as high potential
	Number of candidates ready for key leadership positions
Qualities	**Demographics of management population**
	Demographics of high potentials
	Percentage of female and minority promotions
	Percentage of positions filled internally
Skills and abilities	**Distribution of performance appraisal ratings**
	Percentage of leaders who met performance goals
	Group profiles on 360-degree feedback instruments or assessment center ratings
	Failure rates (involuntary turnover, demotions)
	Job transition success rates
Cultural impact	**Organizational culture surveys**
	Employee satisfaction surveys
	Reputation in the marketplace (for example, in ratings of best places to work)
	Ability to attract top candidates
	Percentage of undesirable turnover and reasons for leaving

organization. Examples are shown in Table 1.3. Each metric can be assessed at the overall organizational level or be broken down by subgroups, for example, organizational level, function, or geographical location. (For a more in-depth discussion of metrics and additional examples, see Boudreau and Ramstad, 2007, and Huselid, Becker, and Beatty, 2005.) Leadership metrics provide a system-level assessment of leaders in the organization.

Tracking a set of leadership metrics over time allows organizations to identify strengths and problem areas in the system. For example, tracking aggregated 360-degree feedback data can point out the degree to which important competencies are widespread in the management population, or monitoring failure rates can identify certain transitions that leaders are ill equipped to make. Tracking leadership metrics also enables the organization to monitor the effects of changes in the system. For example, have involuntary executive turnover rates declined since the introduction of a new executive onboarding program? Or has the

organization's initiatives aimed at developing women and people of color led to a more diverse set of senior leaders? Metrics are also important in planning for the future. As the organization pursues strategic changes, implications for the quantity, qualities, skills and abilities, and cultural impact of leaders need to be examined. For example, as an organization pursues growth in emerging markets, how many more formal leadership positions will be created and in what parts of the world? And what skills, language capabilities, or cultural awareness will be needed among the individuals who will take on these positions?

Forums to Review Leader Effectiveness Monitoring and shaping a leader development system is a collective effort among senior management and the human resource function (APQC, 2006). These individuals need dedicated time together to assess the system, identify problems and issues, agree on overall goals and objectives, and craft broad strategic parameters of the system. Various forums can be used for this collective work:

- *Talent reviews.* In a talent review, groups of peer managers examine the performance and potential of all of their direct reports collectively. A regular talent review process generates shared knowledge about existing talent in the organization and commitment to developing talent. In large organizations, talent reviews are designed to roll up from lower management levels to top levels. For example, talent reviews might take place within each function, then functional heads meet to review direct reports across functions, and finally functional heads are reviewed by an executive team. Talent reviews are often a structured annual process linked closely with the strategic planning calendar of the organization. In addition to reviewing individual leaders, talent reviews provide an opportunity to review leadership metrics. These reviews not only produce action plans for individuals being reviewed but identify development objectives and strategies for the segment of leaders being reviewed, for example, increasing global awareness among middle managers or identifying more local high potentials in emerging markets.
- *Management team meetings.* One of the most consistent findings in studies of organizations that are most effective at developing leaders is the commitment and involvement of senior management (American Management Association, 2005; APQC, 2006; Hewitt Associates, 2007). These senior managers pay attention to the quality of leadership in the organization in the same way they pay attention to the organization's customers, products, and financial health.

Thus, issues of leadership performance and development are part of their strategic planning discussions and are regular agenda items at management team meetings.

- *Leader development councils.* As human resource professionals in the organization design methods and processes to address the organization's leader development objectives, they often rely on a council (a steering committee or advisory board) of line managers to ensure that leader development initiatives meet business needs and align with strategy (APQC, 2006). High-profile initiatives often have executive sponsors who serve as both sounding boards for the initiative designers and advocates for the initiative within the organization.

Leader Development Strategy

Assessing how well the organization's needs for effective leaders are being met and identifying important gaps in leadership effectiveness should culminate in the crafting of a leader development strategy. A leader development strategy communicates the goals and objectives of the organization's leader development system and articulates the choices the organization is making about the relative investment in development for different segments of the leader population, the development methods that will be used, and tactics the organization will use to ensure a positive climate for development. As with any other organizational strategy, it is regularly reviewed and revised to meet changing organizational needs.

LEADER SEGMENTS

Just as an organization has a wide variety of external customers who can be grouped into market segments based on their characteristics and needs, there are different segments of leaders within an organization with different characteristics and needs. In the same way that organizations prioritize market segments to pursue and customize products and services for different segments, they also need to prioritize their leader segments in terms of development investment and customize development processes by segment. Although some processes may be designed for use by all leaders (examples are annual development planning and e-learning resources), organizations categorize their leader segments for development in several common ways: by organizational level; by high-potential status; by social identity group; and by function, business unit, or geography.

Organizational Levels

Perhaps the most frequent type of segmentation is by organizational level. An organization's leader development strategy may reflect:

- *Differential investment in leader development by level.* Organizations often are willing to invest more in the development of individual leaders at higher organizational levels because the risk to the organization of subpar performance at these levels is greater. However, because there are many more managers at lower levels, the total amount invested at different organizational levels may be similar. Other factors may lead to differential investment by level. For example, organizational changes requiring more cross-boundary partnering at middle management levels may dictate greater investment in developing the collective partnering capacity at this level. Or an organization that regularly hires new M.B.A.s into entry-level management positions may choose to invest more heavily in development at these early-career stages.
- *Different targeted outcomes by level.* Managers' leadership responsibilities and challenges change as they move up the organizational hierarchy. Thus, effective leadership requires a somewhat different mix of knowledge, skills, and perspectives at different organizational levels (Mumford, Campion, and Morgeson, 2007). For example, in moving from an individual contributor to a supervisory role, increased emphasis is placed on directing and motivating subordinates. In moving from a functional manager to a general business manager, emphasis increases on integrating work across functions and taking a long-term view. Depending on the size of the organization, there may be four to seven levels in the organization with qualitatively different leadership responsibilities (Charan, Drotter, and Noel, 2001). Thus, organizations typically target the development of different leader competencies at different organizational levels.
- *Different methods of development by level.* Because of the larger numbers of leaders at lower organizational levels, organizations often choose to standardize their formal development initiatives at these levels, for example, offering the same job rotation or training programs across the organization. Methods that allow more customization to the leader's development needs, such as individual coaching or choosing from an array of external programs, may be reserved for those at higher levels of the organization.

High-Potential Status

Organizations make choices about how to balance a focus on the development of high potentials and the development of all other leaders. Generally employees are labeled as having high potential when they are assessed as having the ability, organizational commitment, and motivation to rise to and succeed in more senior positions in the organization (Corporate Leadership Council, 2005). Studies of best practice organizations find that although these organizations emphasize ongoing development for all leaders, they pay particular attention to carefully identifying high potentials and put extra resources into their development (APQC, 2006; Hewitt Associates, 2007). Organizations are more likely to reserve key developmental assignments for high potentials; match them with outstanding bosses; and create formal programs that expand their networks, engage them in action learning, and provide opportunities to interact with senior managers.

Some organizations may also give special developmental attention to high-performing managers who are not seen as moving up in the organization but are important to retain for their high competence and the role they can play in mentoring and coaching others. It is important to provide opportunities for these high-value individuals to continue to hone their skills and maintain their professional expertise; thus, they often are tapped to attend external programs and represent the organization in external networks. And special attention is given to developing their ability to mentor and coach others.

Social Identity Groups

Many organizations are committed to increasing the gender, racial, and cultural diversity of leaders in middle to senior management roles. Thus, a leader development strategy may emphasize leader development for particular social identity groups. Chapter Five in this book describes strategies that organizations use to develop leaders from underrepresented social identity groups. These include leader development initiatives targeted for specific social identity groups (for example, single-identity leader development programs and identity-based networks) and efforts to ensure that individuals from various identity groups have access to leader development opportunities in the organization through challenging assignments, mentoring, coaching, and programs.

Functions, Business Units, or Geographies

As with any other organizational process or system, organizations make decisions about the degree of centralization or decentralization in the leader development

system. What aspects of the system will be designed and managed from a corporate or headquarters perspective, and what aspects will be designed and managed from a functional, business unit, or geographical region perspective? Numerous factors influence such decisions, including the degree of interdependence in the organization, the degree to which there are unique leader development needs in different parts of the organization, the importance of standard practices across the organization, and what is most cost-effective. Typically the development of senior leaders and those targeted as high potential for moving into senior positions is managed at the corporate level, as is any other key initiative supporting a critical aspect of the business strategy.

Regardless of centralization-decentralization decisions, organizations often customize leader development for certain functions, units, or locations. For example, an organization's R&D function might have customized initiatives for developing team leaders who are effective at managing long-term projects and the dynamics of cross-disciplinary teams of scientists or engineers. Another example is the way in which Starwood Hotels and Resorts Worldwide customizes its competency model for its different hotel brands (Barber et al., 2007). The same competency model is used across all the brands, but each brand labels and defines the competencies in ways consistent with its brand. The competency of *customer service* is labeled "Surprise and Delight" and *collaboration* is labeled "Belong to Team Westin" in the Westin brand. In the high-end St. Regis brand, these same competencies (with brand-specific definitions) are known as "Deliver Bespoke Service" and "Accomplish Distinction Together."

Local Leaders

One issue that many multinational organizations pay attention to is the balance of expatriate and local leaders. Although expatriates may play an important role in the early phases of entering new markets and expatriate assignments often remain an ongoing source of development opportunities for leaders, a longer-term localization of leadership is assumed to have a positive impact on the organization's performance. In recent years, a focus on developing local leaders has been particularly important in Asia-Pacific where growth rates have accelerated (Bell, 2006). Thus, it is not surprising that many organizations have invested extra developmental attention to develop and retain local and regional leadership talent in Asia. For example, in 2003, Philips Electronics felt the need to accelerate leader development in China because the local leadership ratio was too low (only 30 percent local at senior levels) and the leadership

pipeline was sparse. To do this, it put more emphasis on high-potential identification, regular talent reviews, development planning, cross-functional moves and mentoring, and tracking such leadership metrics as localization rates, number of high potentials relative to top management positions, and percentage of potentials involved in cross-functional development.

METHODS OF DEVELOPMENT

Perhaps the most common way of describing a leader development system is by pointing out what an organization does to develop leaders. What kinds of programs does it have? Does it use 360-degree feedback for development? Are coaching and mentoring widely available? We think of these as the *methods of development,* and they are an integral part of a development system. These methods are the primary source of the assessment, challenge, and support needed for leader development (see the Introduction).

Organizations make use of a wide variety of leader development methods. Some methods build more intentional learning into ongoing work experiences. For example, managers are moved into new roles or given special job assignments not just to meet the performance needs of the organization but also to broaden the managers' repertoire of leadership competencies (see Chapter Two for more on experience-based methods). Other methods are designed specifically to create additional space for learning and development; examples are training programs, executive coaching, and formal feedback processes. Although these methods are often linked to ongoing work, they provide opportunities not frequently available in the workplace, including the direct transfer of knowledge through teaching, time for focused reflection, and the ability to experiment and practice in a safe environment.

Development methods can be organized into five broad categories (see Table 1.4): developmental relationships, developmental assignments, feedback processes, formal programs, and self-development activities.

Developmental Relationships

Developmental relationships range from those that develop naturally in the workplace and in other spheres of life (mentors and role models, for example) to those that are intentionally designed to stimulate and support learning

Table 1.4
Methods of Leader Development

Developmental relationships	Developmental assignments
Mentors	Job moves
Professional coaches	Job rotations
Manager as coach	Expanded work responsibilities
Peer learning partners	Temporary assignments
Social identity networks	Action learning projects
Communities of practice	Leadership roles outside work
Feedback processes	**Formal programs**
Performance appraisal	University programs
360-degree feedback	Skill training
Assessment centers	Feedback-intensive programs
	Personal growth programs
Self-development activities	
Reading (books, articles, online resources)	
Speakers and colloquia	
Professional conferences and trade shows	
Fireside chats, town hall meetings, all-staff meetings	

(external coaches and social identity networks, for example). Relationships can be particularly powerful drivers of learning and development because they are a rich source of assessment, challenge, and support (McCauley and Douglas, 2004). Other people provide feedback, advice, models of exemplary performance, new perspectives, encouragement, and reinforcement for learning.

Increasingly organizations view the boss-employee relationship as a key leverage point in a leader development system. Through this relationship, the development of every employee in the organization can receive attention. From this perspective, managers are expected to contribute to the development of their employees by teaching, coaching, providing ongoing feedback, and facilitating the design and implementation of development plans. "Developing others" more frequently appears in leader competency models, and programs to better equip managers to take on this role are on the rise.

Another increasingly popular relationship-based method of development is the community of practice (Saint-Onge and Wallace, 2003; Wenger, McDermott, and Snyder, 2002). These are groups of individuals, typically in the same organization, who have similar expertise and job responsibilities but work in different units or regions. They gather to exchange information, share best practices, and learn from and support one another as they face common challenges. Increased specialization in the workplace, the rise of the Internet, and an emphasis in organizations on knowledge management have all contributed to the appeal of communities of practice as organizational structures for learning. Cross-organization communities of practice are expected to grow rapidly given the ease and increased comfort with virtual relationships and the popularity of online social networking sites.

Developmental Assignments

Challenging assignments have always been an important source of learning for leaders (see Chapter Two). In a leader development system, the goal is to better capitalize on this method by more intentionally matching individuals with appropriate assignments (in other words, giving leaders the right challenge for their development needs and goals) and by enhancing the assessment and support provided to individuals in these assignments. Moving leaders upward in the organization has been a common way of exposing them to new challenges, but the more deliberate use of lateral moves and temporary assignments is increasingly a key feature of leader development systems (McCauley, 2006; Yost and Plunkett, 2009).

As organizations become more global in their markets and operations, assignments are becoming a key strategy for developing leaders' international business knowledge, cultural adaptability, and ability to lead across cultural boundaries. Expatriate assignments are now a pivotal experience for developing senior leaders in organizations. Ensuring that learning is maximized from these experiences requires special attention to getting useful feedback and monitoring progress (ideally by a boss who understands international work), family support, and repatriation (McCall and Hollenbeck, 2002). But senior leaders are not the only

ones who need to be able to lead in a global context; thus, assignments like working on a multicountry project team, working on a joint venture with people from other countries, short-term assignments in other countries, or rolling out a new product or service or policy across countries are ideal for developing cultural awareness and adaptability at multiple levels of the organization (Dalton, Ernst, Deal, and Leslie, 2002).

Perhaps one of the most structured forms of developmental assignments is an action learning team. Although action learning is practiced in numerous ways (see O'Neil and Marsick, 2007), a typical approach brings together a cross-functional team to work on an organizational issue or problem. An executive sponsor supports the work of the team, and a learning coach facilitates ongoing reflection and intentional learning during the course of the work. The projects are designed to integrate getting important work accomplished and learning from the process of doing that work. Action learning is often part of a larger multimethod development initiative for high-potential managers but can also be used apart from formal development programs.

Feedback Processes

Although feedback naturally occurs as part of human interaction in organizations, our view is that honest feedback about one's behaviors, competencies, and impact on others is infrequent and uneven in many organizations. For leaders to get ongoing, high-quality feedback, leader development systems need to include some formal feedback processes. These processes can vary from less structured (sets of questions that a leader can use to seek input from his or her coworkers, bosses seeking input from others when completing an employee's performance appraisal) to highly structured (standardized 360-degree feedback, feedback during a developmental assessment center).

A leader development system can include a variety of formal feedback processes. For example, one organization has an annual 360-degree feedback process for all managers with direct reports, a short customizable feedback form that project leaders can use at the end of a project to get feedback from their team, and in-depth assessment and feedback in an assessment center for managers moving into key middle management roles.

Formal Programs

Formal leader development programs are structured, off-the-job events that bring individuals together for shared learning and development experiences. They vary widely in their content, pedagogical techniques, purposes, and targeted outcomes. Conger (1992) identified four broad types of leader development programs—each serving a somewhat different purpose:

- *Knowledge-based programs* designed to convey information that leaders need to understand and apply in order to be effective in their positions
- *Skills training* designed to improve specific skills and increase leaders' abilities to perform certain job functions, such as communication, decision making, and coaching others
- *Feedback-intensive programs* designed to provide leaders with a realistic understanding of themselves and their strengths and how they can improve their effectiveness (see Chapter Three)
- *Personal growth programs* designed to increase the participants' motivation to lead and help them discover how their personal talents can be applied to leadership work

Formal programs are pervasive in leader development systems. These systems typically include both in-house programs targeted to particular leader segments and external programs that can meet the unique development needs of particular individuals. Increasingly development programs are designed to support strategic change initiatives in organizations. There has also been a shift from designing these interventions as programs to designing them as processes—resulting in interventions that extend over time, use multiple methods of development (such as classroom training, coaching, peer networks, and action learning), and blend traditional face-to-face interactions with online technology that supports e-learning modules, virtual work with coaches and classmates, and tracking of developmental progress (see Chapter Three).

Self-Development Activities

Organizations can make available a whole host of self-initiated development activities to leaders. Books, articles, reports, and online resources serve as important sources of knowledge for leaders. Invited speakers and colloquia provide access to external experts who bring new ideas, industry and societal trends, and frameworks for thinking about key organizational issues. Attending conferences and

trade shows also offers exposure to new thinking and trends, as well as connections to professional colleagues who are an ongoing source of learning and support. Events that stimulate sharing and discussion across management levels—fireside chats, town hall meetings, all-staff meetings, and so forth—should also be seen as part of the leader development system because they expose leaders to different perspectives, reinforce organizational values, and encourage openness and authenticity. These less formal chunks of learning are less time-consuming, can be accessed when learning is needed, and are plentiful.

Both HR professionals and line managers themselves—across many types of organizations and countries—report that assignments and relationships are the most frequent and richest sources of leader development (see Chapter Two; Corporate Leadership Council, 2001; Howard and Wellins, 2008). Feedback processes, programs, and self-development activities play smaller and more specialized roles in development. In contrast, leader development systems often focus heavily on programs and, more recently in Western cultures, 360-degree feedback processes. Although these are useful features of effective leader development systems, organizations should strive to design a larger portion of their system to take advantage of relationship-based and assignment-based development methods. And although development from relationships and assignments appears to be pervasive across cultures, organizations should pay attention to variations across cultures in the particular forms these methods might take. For example, lateral movement across units is common in Japan, where such movement is less constricted by organizational silos, job titles, and company hierarchies than in Western organizations (Kramer, 2007), and mentoring in Europe focuses more on personal growth and is experienced as mutual learning compared to mentoring in the United States, which focuses more on career progression and is experienced as one-way learning from mentor to protégé (Clutterbuck, 2007).

CLIMATE FOR DEVELOPMENT

A major conclusion of the Top Companies for Leaders research—a Hewitt Associates project that seeks to identify factors that allow financially successful organizations to consistently produce great leaders—is that these companies place a high value on leader development:

> Leadership is part of the organizational fabric at the Top Companies for Leaders. You can sense it the moment you walk through the

> door. There's a genuine belief that the way to propel the business forward is through investment in leaders—current as well as future leaders. Developing talent and future leaders is a way of operating; it is intertwined with running the business. It is not simply an action item on a "To Do" list. This is true for Top Companies everywhere, whether it be New York, Shanghai, or Wiesbaden [Hewitt Associates, 2007, p. 1].

Establishing a Climate for Development

How much value an organization places on leader development can be thought of as the organization's *climate for development*. The climate for development is established and reinforced through six organizational processes: priorities of top management, recognition and rewards, communication, efforts to track and measure, resource allocation, and skilled employees. These processes are a powerful part of a development system because they are the drivers and motivators of development within the system and therefore provide support for leader development above and beyond that provided by the methods of development.

Priorities of Top Management We noted earlier that one of the most consistent findings in studies of organizations that are effective at developing leaders is the commitment and involvement of senior management. Top management involvement is reflected in their engagement in succession management and talent review processes. In these sessions, they discuss leadership talent with the same rigor and intensity that they discuss finances during budget meetings. They get to know and develop high-potential leaders across the organization. They teach and coach in the organization's leader development initiatives. They focus on leader development in their own units, coaching and providing developmental opportunities for their direct reports and staying actively involved in decisions about people who are two and three levels down in their units. And as the architects of organizational strategy, senior executives play a critical role in examining the implications of organizational strategy for leader development.

Recognition and Rewards Recognition and rewards are another major driver of behavior in organizations. To generate a climate for development, organizations reward several types of outcomes. First, they reward effective leadership performance. For example, in their performance management systems, they do not evaluate just business results achieved by leaders and their teams, but also the

degree to which leaders display important leader behaviors (typically those articulated by the relevant leader competency model). Second, these organizations reward individuals for development—for enhancing their skills and abilities as leaders. Such rewards may take the form of increased pay, more opportunities, and promotions. And third, organizations reward managers for developing others. Again, this is often accomplished through performance management systems that evaluate managers on the degree to which they develop their employees. However, rewards for developing others are also finding their way into incentive compensation. For example, in recent years, PepsiCo moved to an equal allocation of incentive compensation for people development and business results (APQC, 2006).

Communication What an organization values is also revealed in what it spends time communicating about. Formal communications include newsletters, annual reports, the CEO's recorded messages to employees, staff meetings, and intranet sites. Organizations with a strong climate for development use these communication channels to celebrate effective performance, publicize the organization's development initiatives, talk openly about mistakes and lessons learned, share best practices, and connect people to resources to use for their own learning. These organizations often have dedicated sites on their intranets where employees can access information about development opportunities (courses, assignments, or learning networks, for example) and development tools.

Another important aspect of communication is the more informal communication that goes on regularly among people in organizations. A developmental climate is influenced by the degree to which managers and coworkers express a belief that individuals can develop and an expectation that they will develop. For example, a climate for development is strong when managers share their development goals with their teams, when coworkers encourage each other to take on stretch assignments, and when team members readily ask individuals returning from a development program what they have learned and what they are going to do as a result of the program.

Efforts to Track and Measure Earlier in the chapter, we discussed the importance of leadership metrics at the system level. However, efforts to measure and track leader development at the individual and intervention levels are also hallmarks of a developmental climate. Performance management systems can track individual progress on development goals and track the improvements in leader competencies over time. Learning management systems can document

individual involvement in development programs and activities. And evaluation can be built into the fabric of the organization's formal leader development initiatives (see Chapter Nine).

Resources Clearly organizations put more resources into activities on which they place high value. If resources for leader development are one of the first things cut or are cut most deeply when an organization faces financial hardship, the organization is unlikely to have a strong climate for development. But budgets for formal development programs are likely a small slice of the resource pie. To what degree do managers use their time for coaching and mentoring employees? How much is the organization investing in long-range planning for leader development? How up-to-date are human resource professionals on knowledge in the leadership development field?

How wisely those resources are used also reflects a developmental climate. For example, formal development programs can be targeted for critical transition points in a manager's career, key developmental assignments can be reserved for high-potential leaders who need them the most, and the various human resource processes that support development can be designed to work in an aligned and integrated way.

Skilled Employees An organization that values development attracts, recruits, and retains employees who are skilled at development. In other words, they seek employees who demonstrate the ability to learn. Such employees recognize when new skills or behaviors are called for, accept responsibility for their own development, engage in activities that provide the opportunity to learn and grow, and reflect on their learning process (see the Introduction for more on the ability to learn). Organizations with a developmental climate create an employment brand that emphasizes development, seek evidence of the ability to learn during the hiring process, and focus on retaining their exceptional learners.

Assessing the Climate

In the past several years at CCL, we have asked individuals who have some responsibility for leader development in their organizations to rate their organization's climate for development and to ask a group of their colleagues (both HR and line managers) to do the same (Berke et al., 2008). They respond to a

series of statements indicating the degree to which they agree that the statement is descriptive of their organization (using a five-point scale where a rating of 5 expresses strong agreement and a rating of 1 expresses strong disagreement). Table 1.5 summarizes trends in the data collected from 152 organizations of various sizes, locations, sectors, and industries. In the table we have also listed statements from each of the six dimensions of climate and noted the percentage of organizations in which the average rating was at least 3.5, indicating that the group of raters from the organization generally agreed more than disagreed with the statement.

Table 1.5
Elements of a Developmental Climate in Organizations

Statements That Reflect Each Element	Percentage of Organizations in Which Rater Group Endorses Statement (N = 152)
Priority of top management	
Our CEO demonstrates a real commitment to the development of people.	71%
The development of people is a key part of our overall business strategy.	68
Recognition and rewards	
Good performance is recognized and rewarded.	87
We reward people who develop the talents and skills needed for effectiveness in the organization.	67
Communication	
High-performing employees are highlighted in the organization's formal communication channels.	32
People can readily access information about developmental strategies and opportunities in the organization.	21

(*continued*)

Table 1.5
(*continued*)

Statements That Reflect Each Element	Percentage of Organizations in Which Rater Group Endorses Statement (N = 152)
Efforts to track and measure	
We have organizational metrics for tracking whether we are developing the leadership talent we need.	12%
Formal development initiatives are regularly evaluated as part of efforts to enhance their effectiveness.	21
Bosses monitor employees' progress on development goals.	42
Resources	
We do not let short-term business pressure interfere with our development of people.	10
We take a long-term perspective when planning for development—five or ten years out, not just tomorrow.	19
We plan development activities for the key points in a career where they can have the most impact.	7
Our human resource processes (compensation, benefits, and so forth) all work together to support people development.	35
Employee skills	
We attract people who are motivated to expand their capabilities.	87
The ability to learn, grow, and adapt to new situations is valued among employees.	91

The vast majority of the organizations were seen as attracting and valuing employees with the motivation and ability to learn and rewarding good performance. Over two-thirds felt that they rewarded people who develop and that development was a priority of top management. However, the majority also felt that their communication, resource allocation, and measurement systems did not strongly support a climate for development. In other words, employees and top management value development, but often organizational processes are not in place to reinforce and support development. These findings point to the need for a more intentional alignment of organizational systems with the espoused belief in the value of leader development.

LEADER DEVELOPMENT BEYOND FORMAL ORGANIZATIONS

The heart of this chapter focuses on leader development systems in traditional organizations. However, formal organizations are not the only collective entities that see a need for effective leaders. Communities, governments, industries, professions, countries, and social movements also need effective leaders and development systems for producing those leaders. Although it is beyond the scope of the chapter to delve deeply into leader development beyond the formal organization, we present two examples to illustrate other systematic yet specialized approaches to leader development: developing leaders within a particular profession and developing an elite cadre of public sector leaders.

It is not unusual for professional associations to provide leader development focused on the specific issues that leaders in their profession face. One such association is the American College of Physician Executives (ACPE), which was founded in 1977 with the sole purpose of helping physicians become highly capable and exceptional leaders. Its target audience is physicians who are shifting from clinical practice to executive roles in hospitals and other large health care organizations. This is a major transition for physicians. They are highly educated specialists who are valued for their clinical expertise and effectiveness. Their clinical success makes them attractive candidates for very senior-level positions. However, they have not moved up through the organizational ranks and have little experience leading an organization at this level. Although there are often development opportunities for these physician leaders within their work organizations, ACPE provides the unique opportunity to share and learn with other physicians who are making a similar transition and dealing with

similar issues in the health care field. They also provide an educational approach congruent with a physician culture that values continuing education, certification, and advanced degrees.

ACPE offers a variety of formal leader development opportunities. At four leadership conferences per year, physicians can choose from a number of programs, including Crucial Conversations in Medical Management, Ethical Challenges, Essentials in Health Law, Managing Physician Performance, and Taking Charge of Change. ACPE also offers online courses as customized in-house courses to meet the particular leadership needs of a health care organization. All of these courses have been approved for continuing medical education credits, which physicians are required to obtain annually. Physician executives can also accumulate training hours over time to receive certification as a physician executive from the Certifying Commission in Medical Management. And they can apply their learning toward an M.B.A. or master's degree in medical education at Tulane University, Carnegie Mellon, University of Massachusetts, or University of Southern California. Each of these schools has its own curriculum of both on-campus and online learning designed to accommodate the schedule constraints of practicing physician leaders.

A second example comes from the Singapore public sector (Siong and Chen, 2007). Since its independence in 1965, the Singapore government's approach to leadership development has been shaped by three overarching principles: get the best people into the public sector, give them challenging experiences, and pay them well. This is particularly evident in the country's efforts to attract and develop leaders for the Administrative Service, the top three hundred positions in the civil service. A pool of potential leaders is generated through the public sector scholarship system, which awards scholarships for local and overseas study to Singapore's best and brightest. These scholars are recruited into the Management Associates Program, a career development program that launches individuals into a management career track in the public sector after graduation. They enter into a development system with assessment, milestone programs, and job postings as its cornerstones.

The appraisal system emphasizes four broad qualities: helicopter quality (having a broad perspective and long-term view), intellectual ability, results orientation, and leadership qualities. Milestone training and development programs are important not only for the development of these qualities, but for transmitting institutional values and a shared sense of belonging to an elite service. The

Foundation Course is a ten-week induction course to equip new management associates with the knowledge and skills to work in the public sector. The Senior Management Program targets middle managers and aims to broaden their understanding of governance and policy, strengthen their ability to manage teams and handle the media, and increase international exposure through two country visits. The Leaders in Administration Program prepares senior public sector leaders for top leadership positions. The other mode of development for administrative officers is postings across different government agencies and ministries to gain experience dealing with a wide range of issues and challenges. Each posting is about two years, although more senior postings are for three- to five-year periods.

These two examples illustrate that leader development systems extend beyond the boundaries of single organizations. The development of physician leaders is a concern not only of individual hospitals and health care organizations but of the medical profession. The development of senior-level public sector leaders in Singapore is not only a concern of each government agency or ministry but of the country as a whole. There are noticeable differences in these two examples. ACPE offers development for any physician leader, with each individual pursuing what makes sense to him or her. The Singaporean government selects high-potential leaders for its system and carefully crafts their developmental experiences. However, as organizational boundaries become more permeable, partnerships more common, and leaders motivated to advance industry or societal goals more in demand, we expect to see more attention given to leader development beyond formal organizations.

CONCLUSION

A mature leader development system is multifaceted. Some elements of the system—like development planning, formal feedback processes, and high-potential development—serve the organization's ongoing need for leaders who perform effectively in their current roles and for leaders who can take on higher-level management jobs. Other elements are more short-lived, serving emergent needs and changes in organizational strategy. A mature system is also characterized by

- Development initiatives customized to the needs of different leader segments
- The intentional use of multiple methods of leader development
- An organizational climate for development

In recent years the emergence of the concept of talent management has challenged leader development practitioners to better integrate leader development with the organization's larger talent management system. A talent management system is the organization's total system for attracting, developing, and retaining employees with the capabilities and commitment needed for current and future organizational success. Within this system, development is one of several people management processes, and leadership talent is one of many talents needed in the organization. Integrated talent management is evident in how well different aspects of the talent management system work together. This integration is most often achieved by articulating an overall talent management framework that delineates the elements of the system and how they are linked (for example, how leader development fits into the larger system), using common frameworks and models across the system (using the same leader competency model in leader selection and development processes, for example), having the outputs of one part of the system used as inputs to another (for instance, using data from employee engagement surveys to identify leadership capabilities that need more developmental attention in the organization), and by having people responsible for elements of the system work together (APQC, 2004).

Leader development is just one leverage point in broader initiatives to change the leadership culture of an organization. As the chapters in Part Two of this book illustrate, changing shared leadership beliefs and practices in an organization requires development beyond the individual; it requires the development of teams, work groups, relationships among groups, and the organization itself. Thus, an organization's leader development system also needs to be aligned with efforts to develop and enhance its leadership culture. From our experience, organizations can make the mistake of overrelying on leader development as a driver of cultural change, and they can make the mistake of not incorporating leader development into efforts to change the culture. Our perspective is that leader development is an important lever for change, but one that has to be used with other important change strategies.

Finally, we should emphasize that leader development systems are crafted, refined, and enhanced over time. In Exhibit 1.1, we provide broad questions that can help those with responsibility for the system reflect on the current state of their system and identify potential elements in need of attention. Those at the beginning stages of creating a more formal system often focus on foundational

elements that can affect many leaders across the system (for example, articulating a competency model or equipping managers to be effective developers of others) or on a segment of leaders critical to the organization's success. Best practice studies indicate that high-leverage points in the system include top management involvement and support, leadership competency models that clarify expectations of leaders, leader development practices linked to business strategy, well-designed development initiatives tailored to the needs of specific groups of leaders, and performance management and reward systems that hold people accountable for development (Hewitt Associates, 2007; Lamoureux, 2007).

Exhibit 1.1
Reflective Questions for Evaluating a Leader Development System

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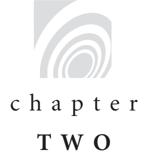
- How aligned are leader development goals and strategies with the organization's broader business goals? Are leader development goals identified as part of the organization's planning processes?
- How does the organization monitor its leadership effectiveness?
  - Does it have a leader competency model and use that model to identify, assess, and develop leaders?
  - Does it track one or more leadership effectiveness metrics?
  - What methods do senior leaders use to regularly review leader effectiveness in the organization and strategize about ways to improve it?
- What does the organization do to ensure that leaders are effective in their current jobs?
  - Are effective performance management and development planning processes in place?
  - Do bosses have the motivation and skills to develop the leadership capabilities of their direct reports? Are they rewarded for developing others?
  - Is a variety of development opportunities available to leaders across the organization? Are these tailored to the needs of leaders at different organizational levels, units, and geographies?

(*continued*)

Exhibit 1.1
(*continued*)

- What does the organization do to ensure that leaders are being developed to take on higher levels of responsibility in the organization?
  - Are high-potential leaders identified and given extra developmental attention?
  - How systematic and visible are the organization's succession management processes?
  - Is there developmental support for leaders transitioning to higher-level management positions or expanded roles?
- What does the organization do to ensure that leaders are equipped to deal effectively with changing organizational realities?
  - Is leader development a core component of strategic change initiatives in the organization? Is development purely initiative driven, or is it an ongoing activity?
  - Does the organization adapt its leader development approach to new contexts, such as different cultures or different populations of leaders?
- Can leaders in the organization choose from multiple methods of development, including relationships, assignments, formal programs, and feedback?
- How strongly does the organization demonstrate that it values leader development and sees it as a competitive advantage? Is this value reflected in
  - Top management priorities?
  - Recognition and reward systems?
  - Communication processes?
  - Measurement systems?
  - Resource allocation?
  - The skills of employees?

In the future, we expect to see organizations grow more intentional about the systems they use to develop leaders. Despite all the changes in governments, business practices, and technology, one certainty is an ongoing demand for people to take on leadership roles and responsibilities. Systems to continually develop leaders are essential.



chapter TWO

Learning from Experience

Jeffrey Yip
Meena S. Wilson

When effective managers in organizations are asked to think back over their careers and identify the events that have had the greatest impact on how they lead and manage today, they are most likely to point to challenging job assignments, developmental relationships, and adverse situations they endured. Through their eyes, learning to be a more effective leader is the result of a wide range of experiences that stretched and challenged them. Such experiences are a normal feature of managerial careers. However, we believe that organizations can be more proactive and intentional in using experiences to accelerate leader development. To do so, organizations need a deep understanding of how leader development happens, both inside and outside the classroom; they need to know what kinds of experiences are developmental and how such experiences can be sequenced and combined to maximize learning.

In this chapter we describe how leadership is learned from experience and the implication for leader development. After an overview of three decades of research on the developmental experiences of managers, we describe the variety of experiences that prepare managers to lead and how different experiences

translate into learning and development. We next introduce the concept of return on experience, which emphasizes that through experience, leaders can develop in mastery and versatility and that the transfer of learning from experience has broader benefits for the organization. The chapter ends with examples and suggestions for how organizations can maximize individual and organizational return on experience.

LESSONS OF EXPERIENCE RESEARCH

A central question has captivated the interest of researchers and educators at the Center for Creative Leadership (CCL) for thirty years: What are the processes by which executives learn, grow, and change over the course of their careers? To shed light on this question, CCL's Lessons of Experience (LOE) studies were initiated in the United States in the early 1980s. Based on interviews and surveys of 191 senior executives from six large U.S. corporations, the CCL researchers gleaned the key developmental events in executives' lives and the lessons learned from those events. In their book, *The Lessons of Experience: How Successful Executives Develop on the Job* (McCall, Lombardo, and Morrison, 1988), the CCL research team concluded that stretch assignments and developmental relationships were critical to the development of successful executives, more so than the formal training they received.

As the managerial ranks in the United States became more diverse and began to include women, African Americans, Hispanics, and Asian Americans, additional studies were conducted to investigate their experiences and lessons learned (Douglas, 2003; Morrison, White, and Van Velsor, 1987). Outside CCL, the same research methodology was applied to examine the experiences of international executives (McCall and Hollenbeck, 2002) and business executives in the Netherlands and Japan (Brave, 2002; Works Institute Recruit Company, 2001). In 2003, CCL extended the LOE research globally, with comparable interview and survey data gathered from over five hundred senior leaders in forty-seven country-based organizations across seven industry sectors in the United States, India, Singapore, and China (Conway, Van Velsor, and Criswell, 2006; Wilson, 2008; Yip and Wilson, 2008; Zhang, Chandrasekar, and Wei, 2009; Zhang, Wilson, and Wei, 2008). An overview of the most relevant studies is shown in Table 2.1. In this chapter, we draw heavily from the findings of these recent studies in China, Singapore, India, and the United States.

Table 2.1
Overview of Lessons of Experience Studies

Country	Year Completed	Number of Participants	Organizations
China	2009	54	Four state-owned and two private sector companies
Singapore	2008	36	Twelve government ministries and eighteen government agencies
India	2007	71	Eight global private sector companies
United States	2005	354	Participants in CCL's senior executives program: 72 percent U.S. based, 28 percent based internationally
Global (36 countries)	1999	101	Sixteen global private sector companies
United States	1996	288	Participants in CCL's leader development programs
United States	1985	76	Twenty-five Fortune 100 companies
United States	1984	191	Six Fortune 100 companies

Across countries, industries, and organizations, the LOE studies consistently found more similarities than differences in the types of events that managers say are developmental. In an extension of CCL's earlier research, we identified fifteen types of events that are grouped into five general clusters: challenging assignments, developmental relationships, adverse situations, course work and training, and personal experience (see Table 2.2). This table represents the synthesis of the various LOE studies by researchers at CCL, working in collaboration with the Tata Management Training Center in India, the Civil Service College in Singapore, and Jean Lee of the China Europe International Business School.

Table 2.2

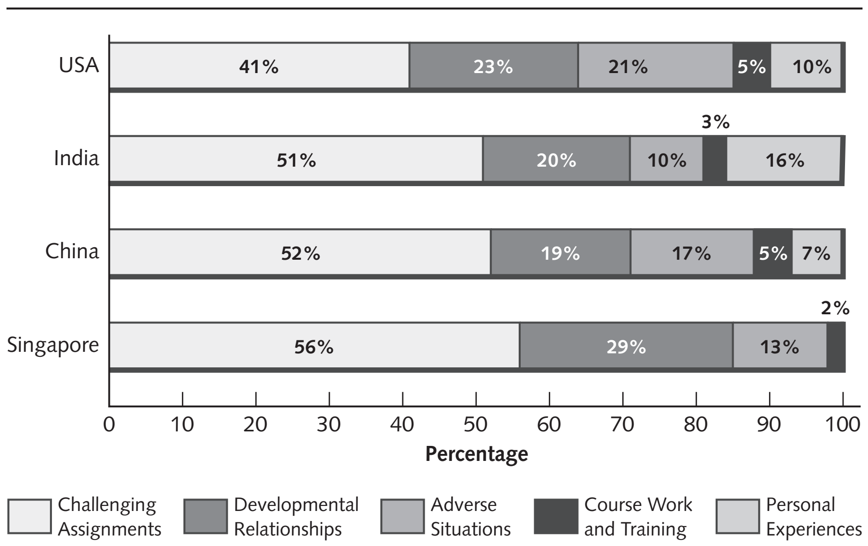
Five Event Clusters and Fifteen Event Types

Challenging Assignments	Developmental Relationships	Adverse Situations	Course Work and Training	Personal Experiences
Increase in scope First supervisory job Increased supervisory scope General management job Creating change Project or task force New initiative Fix-it or turnaround Organizational growth or downsizing	Constructive bosses and superiors Role model Teacher Catalyst Mentor Difficult people Ineffective boss Problematic subordinate Conflict-creating coworkers	Crisis Business or financial Organizational scandal National security or health Mistakes With personal impact With organizational impact Career setbacks Being fired Demotions, missed promotions or opportunities	Course work and training Self-initiated Organization sponsored	Various experiences that create emotion-laden memories and influence leaders' principles Early life or work Midlife transition and trauma

Job rotation or transition	**Nonwork guides**	**Ethical dilemmas**	**Early life or work**
Cross-functional transfer	**Parents and other family**		**Midlife transition and trauma**
Cross-regional move	**Others**		
Cross-company career shift			
Stakeholder engagement			
Within the organization			
With other organizations			
With external constituents			
Work in a different culture			
Working for a foreign multinational company			
International assignment			
Merger, acquisition, joint venture			

Note: From the experiences of executives in the United States, India, Singapore, and China.

Figure 2.1
Percentage of Developmental Experiences in Each Event Cluster Across Countries



Across the studies there was also a consistency about which event clusters were cited as most developmental (see Figure 2.1). Most frequently cited were challenging assignments; next-most frequent were developmental relationships. Course work and training was the least frequently cited.

Also in the studies, five of the fifteen developmental event types stood out as the most widely cited. These (they range across the clusters shown in Table 2.2) were

- Creating change (India, China, and United States)
- Increase in scope (United States and Singapore)
- Job rotation (Singapore and China)
- Constructive bosses and superiors (Singapore, United States, and India)
- Early life and work (China and India)

WHERE LEADERS LEARN

Each of the event clusters—challenging assignments, developmental relationships, adverse situations, course work and training, and personal experiences—

provides a unique context for learning and development, and the outcomes of learning are different in each. The evidence is clear: managers who wish to develop to their full leadership potential must actively seek to learn and develop by taking on each cluster of experience and encourage their subordinates to do so too. For those willing and able to learn from experience, every experience adds to the depth and breadth of their leadership skills.

Challenging Assignments

Challenging assignments are, by definition, difficult tasks, promotions, or postings that organizations assign to managers. The challenge and difficulty cause the managers to struggle and stretch beyond their current capabilities. Table 2.3 describes five types of challenging assignments that are particularly developmental: an increase in scope of responsibilities, an assignment in which the individual is responsible for creating change, job rotations and transitions, stakeholder engagement assignments, and working in a different culture.

Significantly more lessons are learned from challenging assignments than from any other event cluster, and different assignments sharpen different leadership abilities. For example, managers whose scope of work is increased by new responsibilities have to learn to motivate and even inspire their subordinates. For those who accept a job rotation to a different function or region, new learning may include a cross-organization view of operations and strategy. In the course of creating changes in support of a new initiative, such as introducing new technology or entering a new market, managers learn how to build trust and influence others.

In different countries, leaders report different types of challenging assignments as being most common. For example, in India, executive leaders of homegrown global for-profit organizations cite international assignments for offering a wealth of important lessons about cultural differences (Wilson, 2008). Singapore's public sector leaders describe stakeholder engagement events, which call for exercising influence despite limited authority (Yip and Wilson, 2008). To run Singapore, senior public service leaders have to secure cooperation across agencies, citizen groups, industry sectors, and countries and adopt a "whole-of-government" approach. In China, the senior executives who lead state-owned or private enterprises cite organizational reform events, which involve restructuring a business toward a market-oriented culture.

Table 2.3
Challenging Assignments: Examples of Events

Event Type or Context	Description	Examples of Events
Increase in scope: Occurs as a part of normal career progression	Responsibilities and pressures are assumed that are broader and different from before. With that comes more decision-making power, influence, and visible success or failure.	A new employee is promoted and has to manage a team of direct reports for the first time, including former peers. A high-potential manager is appointed as general manager of several functions and experiences job overload, pressures, scrutiny, and public accountability.
Creating change: Triggered by regional or global growth and inducements to improve productivity	Decisions and actions are required under business, political, or social conditions that are neither clear nor predictable.	New initiatives present opportunities to create or launch new products, adopt new technologies, or build a plant or unit from scratch in another region or new country. Change, or a turnaround, must be effected to fix problems left behind by previous managers. An underperforming or failing business operation must be stabilized, sometimes by restructuring or downsizing.

Job rotation and transitions: Aimed at providing a holistic perspective on the organization's structure, operations, strategy, and culture	**New knowledge and expertise are needed that the manager does not possess but requires for proving himself or herself. Previously effective behaviors, work processes, and mental models are inadequate.**	**A variety of transfers is possible. The transfer can be self- or company initiated, one or several, and in either direction:** **From line management to a staff role** **From policy work to fieldwork** **From administration to operations** **From headquarters to a regional office** **From an urban to semiurban or rural setting** **From private to public or the nonprofit or educational sector**
Stakeholder engagement: Proliferating due to globalization and changes in the structure of organizations	**Leadership influence must be exercised but with little or no formal authority. Two or more competing points of view must be reconciled.**	**Negotiations with potential clients, vendors, and government officials are necessary to move forward on a technology transfer; tensions result if the process does not proceed according to expectations.** **Two organizations undertake a collaborative venture with initial enthusiasm; unexpected differences in how decisions are made and information is shared cause complications that stall the work.**

(*continued*)

Table 2.3
(*continued*)

Event Type or Context	Description	Examples of Events
Work in a different culture: Becoming pervasive due to the global aspirations of organizations	Leadership tasks involve regular, direct contact with coworkers whose values, motivations, language, life routines, and cultural customs are different. Even beliefs about leadership and the practice of leadership are dissimilar.	While remaining in his or her country of origin, the manager is accountable for global operations of a function, product line, or business. Business objectives must be met under political, legal, and economic conditions that are unlike what the manager has previously experienced; hazardous and even life-threatening situations may be features of the overall expatriate assignment.

Challenging assignments can contribute to remarkable personal and leadership growth. Note that wisdom traditions from each country where the research was conducted uniformly advise individuals to face up to challenging situations without flinching. In the Chinese culture, Mencius (372–289 BCE), a Confucian philosopher, observed: "When Heaven is about to confer a great responsibility on any man, it will exercise his mind with suffering, subject his sinews and bones to hard work, expose his body to hunger, put him to poverty, place obstacles in the paths of his deeds, so as to stimulate his mind, harden his nature, and improve wherever he is incompetent" (translated in Chan, 1963). In the Indian wisdom tradition as framed by the Bhagavad Gita, individuals are urged to enter the battlefield of action. This allows them to engage fully with their role responsibilities, that is, duty or dharma, and practice and achieve equanimity in the face of difficulties. In the Western tradition, the stories of managers' learning journeys echo the path of the hero's journey (Campbell, 1949). Each challenge is a call to venture into an unfamiliar zone of experience, endure trials, overcome obstacles, and accept aid from helpers. By surviving the intensity of the tasks confronting him or her, the hero or heroine receives the boon of knowledge and powers and can return from the journey to improve the world.

Developmental Relationships

Across cultures, developmental relationships are consistently the second-most cited cluster of learning experiences. This squares with findings from other studies (APQC, 2006; Conference Board, 2005) in which relational feedback, coaching, one-on-one mentoring, and peer and group mentoring are identified as best practices for leader development.

Managers learn from a variety of relationships with people within and outside the workplace. Developmental relationships involve memorable people who transmit important lessons about leadership. Managers attribute their effectiveness as leaders to the imprint these special individuals make on their values, attitudes, or behaviors. Developmental relationships can occur between a manager and a constructive boss or superior, a difficult person, and a nonwork guide (see Table 2.4). Of these, across our studies, constructive bosses and superiors are the most frequently cited (Douglas, 2003; Morrison et al., 1987; Wilson, 2008; Yip and Wilson, 2008). Their impact is particularly prominent in countries such as Singapore and India where status and authority command respect and deference (Wilson, 2008; Yip and Wilson, 2008).

Table 2.4
Developmental Relationships: Examples of Events

Event Type or Context	Description	Examples of Events
Constructive bosses and superiors: Engages with subordinates regularly rather than intermittently or not at all	The boss or superior takes a personal interest in the manager and his or her career and life. This may happen infrequently or on a daily basis; however it happens, it leaves a profound impact.	A boss or other superior possesses exceptional skills or charisma. The subordinate's views and actions are shaped by watching and learning from this positive role model. Mentors help managers steer through their careers by loyally providing introductions, opportunities, and expert guidance about job requirements and the organization's culture.
Difficult people: Conflicting personality preferences, working styles, and opinions supersede commitment to project and organization goals	Discomfort with the actions of a boss, subordinate, or peer leads to conflict, resentment, and disputes that may or may not be handled skillfully.	An incompetent subordinate has to be confronted with a performance problem or human resource policy violation such as alcohol abuse or absenteeism. Too much competition between peers leads to unfair practices, jealousy, betrayal, and confrontation. Occasionally differences are worked through, leading to common ground and friendship.

Nonwork guides: **In some cultures, highly renowned, successful individuals and family elders are respected or revered**	**A member of one's immediate or extended family has a significant positive or negative influence that lasts over time and shapes the manager's aspirations and performance.**	**The life, work, and sayings of an iconic or historic individual are used as precepts to guide choices, attitudes, and behaviors.** **Older and more experienced individuals, such as parents, guardians, uncles, or respected community members, intervene with advice about career choices and work dilemmas.** **A grandfather or older brother sets high and strict standards by being exemplary in what he says and does.**

What precisely is learned from bosses and superiors? Depending on culture, positive, inspiring relationships with a boss motivate subordinates to emulate them. By imitating behaviors, subordinates acquire and practice culturally acceptable ways of handling themselves and managing people and situations. They evolve into leaders who have a significant influence on their own subordinates' behaviors and performance. Thus, learned managerial behaviors cascade through the organization, and leadership beliefs and practices are transferred across organizational levels.

Anecdotes warn that the behaviors expected from bosses and superiors are distinctive and different across countries and cultures. We surmise that cultural differences affect the nature of developmental relationships, and these relationships have a ripple effect on the organization. For example, in countries where bosses wield considerable influence, guidance from bosses is vitally important for extracting nuggets of leadership learning from challenging assignments. Since all experiences are more developmental when the elements of assessment, challenge, and support are present, informal assessment and support from a boss or superior activate and compound the leadership learning embedded in challenging assignments.

Bosses and other superiors are a mix of positive and negative leadership qualities. Managers' stories illustrate their influence in different ways, including four prototypical roles: positive role models, teachers, catalysts, and mentors. Bosses and superiors often play more than one of these roles.

The *positive role model* sets an example of high competence, particularly concerning relationships with others. Their influence is not premeditated. Many do not set themselves up to be models and do not seem to realize that they are being closely observed. By the manner in which they conduct themselves, they become exemplars whom subordinates strive to emulate. One manager confided that he imitated a boss who was able to remember the names of up to two hundred managers and their spouses: "I am not so good at remembering names, so I started designing a way. If I am going to have a meeting with my marketing staff, I make it a point to have my secretary get me the names of all the managers in the marketing department and their spouses' names."

Note that some bosses are negative role models who create conflict-ridden relationships. Such bosses can still have a constructive effect on subordinates: they vow never to incorporate similar behaviors into their own leadership style.

The *teacher* boss is described more frequently by Indian and Singaporean executives than by other groups. Teacher bosses are remembered for giving direct

and helpful, but almost obtrusive, instructions. "I had a very good boss, who gave me the ten commandments—what to do and what not to do when working with community leaders," commented one executive. Another was coached on the clothes to wear when he visited headquarters and the counsel to talk softly. He felt lucky because "this type of instruction is not given to everyone."

The *catalyst* boss makes a crucial contribution in the lives of early-career managers and those making a career transition. In contrast with the situation-specific words of wisdom imparted by *teachers,* the catalyst boss arranges momentous experiences and opportunities to learn. They are fondly remembered for the trust they bestow: setting up subordinates with difficult assignments, assurances of guidance as needed, and then leaving them to their own devices. One manager described how "we were in the midst of negotiations and my boss kept silent, and left it to me. His purpose was really to make me lead." Particularly for young managers, the trust, autonomy, protection, and cheerleading from a catalyst boss result in a significant boost to their self-confidence.

The word *mentor* is usually used to describe different kinds of formal and informal relationships. In our use, a mentor is a person who supports the manager's career progress by sharing expertise, being a loyal advocate, and providing guidance when difficult career and personal decisions have to be made. Traditionally the *mentor* boss affords a long-term teacher-apprentice relationship to upcoming leaders. When managers describe a previous boss as their mentor, they are referring to a meaningful personal relationship that has unfolded over a long period. Note that mentor-protégé interactions are not restricted to boss-subordinate relationships.

In their original study of nearly two hundred managers, McCall et al. (1988) found mentoring "rare or non-existent among these successful senior executives. Between their own rapid advancement and the movement of their bosses, they were seldom with the same person for as long as three years" (p. 12). In contrast, research suggests that mentors are more common in Asia. There, even when mentor and protégé move on to different jobs, they reach out to reconnect.

Adverse Situations

Adverse situations include crises, mistakes, career setbacks, and ethical dilemmas (see Table 2.5). Experiences of adverse situations occur among organizations and managers in all countries: unexpected and highly consequential events unfold that are imposed by the environment and are not within the control of the organization or its executives. Although leadership is viewed as proactively

Table 2.5
Adverse Situations: Examples of Events

Event Type or Context	Description	Examples of Events
Crisis: Unexpected, shocking, and disorderly situations occur, injuring the interests of the organization and its employees.	A situation that cannot be controlled has negative consequences on the entire organization and its top-level leaders; the survival and the reputation of the organization may be threatened.	Crises come in many guises such as financial turmoil, product recalls, tax investigations, regulatory reviews, or terrorist threats. A natural disaster or a situation that jeopardizes health and safety brings work to a halt and closes the operation temporarily or permanently. Fraudulent, illegal, or otherwise dubious activities caused by negligence or poor ethical practices involve the business in public investigation and scandal.
Mistakes: Inexperience, poor judgment, carelessness, or calculated risks that do not work out are the cause.	An error made by an individual manager or a coworker has business consequences.	Negligence jeopardizes safety or causes death. Managerial shortcomings derail team or organization goals. Strategic errors occur, for example, when a business venture collapses due to a poor market-entry plan.
Career setbacks: Unforeseen obstacles block career progress.	Unanticipated events or people impede the individual manager's expected career progression.	The manager gets stuck in an unsuitable job or is demoted or fired. An injustice occurs due to prejudice and discrimination based on gender, ethnicity, age, and regional or cultural affiliation.
Ethical dilemma: One or a few senior leaders are involved in a unique occurrence of immoral or illegal behaviors.	Inappropriate or fraudulent behavior by a senior manager is endured or observed by a lower-level manager. Value-laden conclusions with moral implications are made.	Financial mismanagement is overlooked by company directors who stand to benefit. Executives from different divisions of the same company are heard slandering each other and spreading rumors and lies.

creating and implementing agendas, adverse situations have the effect of limiting the leader to being reactive.

Experiencing adversity is markedly different from experiencing challenging assignments or developmental relationships. Few people seek out adverse situations. Most try to avoid the emotional strains that adversity brings—the tension, fear, apprehension, confusion, and disorientation. Intense feelings of loss are also common (Moxley and Pulley, 2004).

Losses and feelings of loss manifest in various circumstances and forms. Business crises can cause enormous monetary losses. Mistakes, even small ones, can trigger a loss of confidence. Career setbacks, such as being downsized or fired or passed over for a promotion, can give rise to feelings of loss of control or a loss of identity and meaning. Ethical dilemmas brought on by the egregious behavior of one or several leaders can diminish ideals and damage self-respect.

Whether it involves a business mistake, job loss, demotion, lousy job, or personal trauma, adversity is a powerful crucible for leader development. According to Moxley and Pulley (2004), the lessons from adversity are deeply personal. Adverse situations provoke introspection and self-assessment. Personal limitations come to the surface. The need to change one's behavior or pay better attention to people and technical issues becomes apparent. Profound insights are gained not in the moment but after the passage of time. Adverse situations can teach resilience and integrity in the face of events beyond one's control, compassion for others, and a more balanced approach to life.

There is variation across countries in the types of adverse situations that managers learn the most from. For example, U.S. senior executives cite business mistakes and ethical dilemmas as sources of leadership learning. Singapore's senior public service leaders frequently cite crisis events, most likely because they must often endure, resolve, and learn from events such as health epidemics and threats to security. Chinese leaders describe adversity experienced during childhood (particularly in rural areas) or during the Cultural Revolution as sources of lessons about leadership, and many espouse a belief that the experience of hardship prepares one to thrive in better times. As one Chinese saying puts it, "First bitter, then sweet."

Course Work and Training

From self-initiated or employer-arranged course work and training events, managers obtain information, knowledge, and experience that are not available in

their day-to-day jobs and help them to advance or redirect their careers. Examples are formal management development programs, residential executive education courses, academic programs leading to a degree or certificate, international study tours, spiritual training, experiential workshops, and action learning projects.

Since managers spend countless hours on their jobs and only limited periods of time in course work and training, it is not surprising that they report fewer training experiences when asked what has helped them develop. Moreover, course work usually teaches task-related skills or functional knowledge rather than the broad and deep learning needed to become an effective leader. This makes it all the more important for course work and training to be integrated with work-based developmental experiences and supported by bosses and other superiors. Leadership development programs are far more likely to have an enduring impact if they offer new learning and opportunities for growth in self-awareness, reflection, multisource feedback, goal setting, and guided practice of new behaviors combined with follow-on assistance from coaches (see Chapter Three).

Personal Experiences

Some personal experiences create emotion-laden memories of how values or an approach to life or work were formed, or life direction was re-formed. These experiences and their lessons are varied and can occur at any time in life (childhood, college, a volunteer experience, early work experience, or midlife transitions) and within or outside the workplace.

Personal experiences are more commonly reported by managers in some cultures and subcultures than in others. In the Netherlands, for example, more emphasis is placed on events outside the workplace, such as leadership roles in a community organization or the consequences of growing up in an immigrant family (Brave, 2002). Similarly, in CCL research on developing leadership capacity among U.S. women leaders, the interview data point to cross-learning between family and work life (Ruderman and Ohlott, 2002). In our research, Indian executives spoke frequently of their early life experiences and the impact of their parents on their leadership ideals. In China, managers talked about the pressures associated with early work experiences and life in rural areas. From this, some Chinese managers learned to value situational adaptability, while others learned to value systems, norms, and procedural uniformity. As personal learning experiences, U.S. managers said midlife transitions and trauma—brought on, for

example, by divorce or a death in the family—taught them how to manage life and work.

Early work experiences probably make a more lasting contribution to the leadership approaches of Chinese and Indian managers. We infer this from the fact that they tell notably more stories about first-job interviews, apprenticeships, and first jobs than do managers from the United States and Singapore. Several interviewees attributed their success to values and principles that they learned early and have used consistently to guide themselves. Bosses of managers in countries such as China and India may wish to draw out stories about their subordinates' first or early work experience and what they learned as a result, thereby achieving deeper insights into their subordinates' personal motivations.

RETURN ON EXPERIENCE

Experience is beneficial, but in what way? How can organizations assess and track the developmental outcomes of experience-based learning? While most organizational initiatives are measured by their financial return on investment (ROI), the outcomes of experience-based learning are broader, deeper, and more qualitative in nature. To complement existing ROI metrics on training (Kirkpatrick, 1994; Phillips, 2003), we recommend organizations consider a return on experience (ROE) framework that acknowledges the substantive outcomes from experience-based learning for the individual manager and the organization. Outcomes can be achieved along three dimensions that we discuss separately in more detail:

- *Mastery:* Increased leader ability as experience deepens a manager's existing skills and ability to lead.
- *Versatility:* Increased leader capacity as experience broadens a manager's repertoire of skills and ability to lead.
- *Transfer:* Increased organizational impact as learning is applied and then transmitted from the manager to the group and organization.

ROE is achieved when individual managers increase mastery and versatility, and the organization benefits from the application and transfer of their learning. To illustrate, consider the experience of a senior executive with a French pharmaceutical firm who recently completed a three-year expatriate assignment in which her task was to expand her firm's business in China. This experience

increased her mastery of business negotiations, an ability that she had honed over the years in her role as a sales executive. She also became a more versatile leader through learning several new skills, such as building and managing local partnerships and becoming cross-culturally effective. When she was repatriated to France, she applied the lessons she had learned abroad to her new role as vice president of global operations. She actively transferred her lessons of experience to direct reports and peers across the enterprise.

The returns on experience can benefit not just the individual; they can cascade across the organization. Thus, human resource practitioners and line managers can guide their efforts to maximize ROE by posing three key questions:

- How might this experience build on and deepen the individual manager's existing abilities?
- How might this experience broaden the individual manager's capacity by adding new skills and perspectives?
- Which processes and systems would aid the transfer of the manager's lessons of experience and benefit the broader enterprise?

Mastery: The Outcome of Increased Ability

Lessons are gradually absorbed from experiences that build on each other, and learning is continuous growth toward more complex abilities. Mastery, the first dimension of ROE, is a progressive honing of the abilities that make one most effective as a leader. Positive experiences can be more than just the context for developing mastery; they can be powerful reference points for a leader's identity and sense of self-efficacy. Sense of self-efficacy matters greatly. While it would be foolish for anyone to assume that he or she can reach absolute mastery in anything, managers on a leadership journey can continually strive toward it.

Various studies document the progressive levels of mastery and the qualitative changes in the learner as he or she moves from novice to expert (Dreyfus, 1984; Lord and Hall, 2005). At CCL, our colleagues have related five levels of learning and performance to the variety of lessons learned from experience, as shown in Table 2.6 (Berke, Kossler, and Wakefield, 2008). Their model is based on Bloom, Mesia, and Krathwohl's (1964a, 1964b) more comprehensive taxonomy of learning. The levels are critical awareness,

Table 2.6
Levels of Learning and Performance

Levels	What Happens at This Level
Critical awareness	Makes the unconscious conscious. Becomes aware of facts, information, terms, and models that previously were not part of awareness.
Actionable knowledge	Learns the conceptual knowledge of the new skills and behaviors. Focuses on how-to and principles.
Guided practice	Actively practices the new skill in a challenged and supported environment, with immediate coaching and feedback on performance effectiveness.
Independent application	Consciously performs new skills or behaviors in selected work situations.
Skilled performance	Automatically performs new skills or behaviors without thought as part of everyday leadership.

Source: Berke, Kossler, and Wakefield (2008).

actionable knowledge, guided practice, independent application, and skilled performance.

According to this model of levels of mastery, moving from critical awareness to skilled performance is an increasingly complex process of accumulating experience and learning over time. As evident in a classic AT&T study by Bray, Campbell, and Grant (1974), even managers identified as high potential can be outpaced by lower-potential employees who, over time, are given the right experiences and developmental support to increase their mastery levels.

Versatility: The Outcome of Increased Capacity

The second dimension of ROE is increased versatility and an expanded capacity to lead, based on new skills and perspectives. Where mastery represents a move toward depth of expertise, versatility represents breadth. CCL's international and ongoing research with executives confirms that from their experiences, managers learn lessons across three categories of leading: leading self, leading others, and leading the organization (see Table 2.7). Versatility involves learning new skills and perspectives that span the three categories.

Table 2.7
Categories of Lessons Learned from Experience

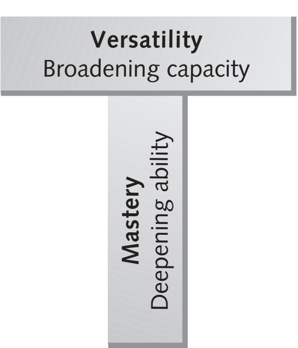
Learning Categories	Definition
Leading self	Lessons relate to the inner world of the manager and concern effective ways for this person to lead himself or herself and develop fully as a person. These lessons are developmental in nature, involving a transformation of the manager's self-beliefs, attitudes, identity, and habits of self-improvement and self-development.
Leading others	Lessons relate to the world of people and involve interpersonal and social skills that equip leaders to lead and work with people effectively. These lessons are social in nature, involving insights into other people's perspectives and group dynamics and a greater appreciation of the social process of influence and leadership.
Leading the organization	Lessons relate to working in organizations to address strategic, systemic, and cultural issues. These lessons are technical in nature, concerning strategic, operational, and functional knowledge for getting work done and managing and transforming an organization.

Versatility pays off hugely for organizations, especially when leaders must lead in new and unknown situations. While classroom learning tends to focus on the acquisition of technical lessons, predominantly in the category of "leading the organization," varied and novel experiences outside the classroom can challenge current thinking and break up unproductive patterns of beliefs and behaviors. For example, developmental relationships and personal experiences can foster lessons in leading the self *and* leading others, and they are critical to the development of leader versatility.

Combining Mastery and Versatility

Isaiah Berlin (1953) suggests that leaders can be divided into two categories: hedgehogs, who lead by mastery in one area, and foxes, who are versatile, possessing skills in multiple areas. Along with a progression toward mastery of narrower fields, it is equally important for leaders to widen horizons, challenge

Figure 2.2
T-Shaped Leaders: The Outcome of Mastery and Versatility



perspectives, and develop foxlike versatility. The organization can make this happen with a systematic approach at enhancing leaders' mastery and their versatility. We use a T-shaped image of leadership to suggest how to cultivate mastery and versatility among managers (see Figure 2.2). The T suggests that developing leaders increase their capabilities in both depth and breadth (Leonard-Barton, 1995).

There is one more aspect of ROE to consider: the actual transfer of learning.

Transfer: The Outcome of Increased Impact

The transfer of learning involves the application of the lessons learned from experience to different contexts and other people. This is an important issue for organizations today because they expect their leaders to make a real impact on the people and organizations around them. The literature on the transfer of learning focuses primarily on the transfer at the individual level, but the organizational need is transfer of learning at several levels—not just the manager's application of the lessons learned, but also the transmission of lesson knowledge to other people in the organization (Dixon, 2000). We propose three levels:

- *Individual level.* The lessons learned are transferred to the context of other work required of the manager. The transfer starts when the learner abstracts underlying leadership principles from discoveries in multiple contexts. The transfer of learning takes place when the manager is able to apply the principles

to other contexts—for example, from one role to another or in another organization or culture.

- *Group level.* Lessons learned from experience can be transferred to other people when the learner converses with them, sharing his or her experience and lessons learned, and the group reflects collectively on what has been shared. This is best exemplified in the leader-as-teacher role (described earlier in this chapter), in which the teacher passes insights of experience along informally, through developmental relationships (Tichy and Cohen, 1997). By sharing and practicing new behaviors and skills, managers can transfer the learning they have acquired from experience to other members of their group. Peter Senge (1990) describes this as "the process of learning how to learn collectively" (p. 335).
- *Organizational level.* Leaders can transfer learning from experience by codifying the learning in order to transform general practice. This difficult kind of transfer occurs when an organization's practices change as a result of collectively processed experience and new shared meanings (Dixon, 1994; Stata, 1989). Studying successful organizations, including General Electric, Hewlett-Packard, and Intel, Tichy and Cohen (1997) found that each of them had a systemic platform for leaders to transfer learning across the organization. One exemplar of this is the U.S. Army, which pioneered after action reviews (AAR)—an ongoing process of codifying, interpreting, and disseminating the lessons learned from experience. Many organizations now use this process to help managers learn from their mistakes and prevent future errors.

ROE and the transfer of learning from the individual to the organization are intrinsically linked. As Stata (1989) observes, "Organizations can learn only as fast as the slowest link learns" (p. 64). ROE is maximized when an experience results in the learning outcomes of mastery and versatility, with a transfer of learning from the learner to the organization.

ENHANCING THE RETURN ON EXPERIENCE

When organizations wish to deploy experience-based learning to develop leaders, the first step is to be clear about outcomes: mastery, versatility, and the transfer of learning. To achieve these outcomes and enhance return on experience, we suggest

the following broad principles: (1) sequence experiences to enhance mastery, (2) diversify experiences to enhance versatility, and (3) integrate experiences to enhance transfer.

Sequence Experiences to Enhance Mastery

Leadership cannot be mastered through any single experience, no matter how intense it is. Similarly, an experience that is developmental for one manager may not have the same effect on another. The path to mastery will differ depending on the individual's needs and work context. While the optimal learning scenario is one in which experiences are customized to the development needs of individual managers, extensive customization is sometimes not practical. We propose that organizations consider broad customization by sequencing experiences to match both the strategic priorities of the organization and the level of mastery needed for managers to advance to higher levels of responsibility.

Sequence Experiences to Meet the Strategic Priorities of the Organization As noted in Chapter One, many organizations have competency frameworks that describe the types of leadership capabilities and levels of mastery needed to get work done. It is important for developmental experiences to be aligned with these frameworks so that the current and future business priorities of the organization are met. The focus on strategic priorities introduces the long-term view and prepares managers to run the organization in the future. This is different from short-term thinking that assigns experiences based only on immediate work needs.

Cisco's 3E leader development model of education, exposure, and experience exemplifies sequencing experiences to achieve mastery. In this approach, 10 percent of leader development is through education, 20 percent through exposure to fellow employees' practice and expertise, and 70 percent through on-the-job experience (Cisco, 2008). Thus, at Cisco experience-based learning is considered a major development opportunity. The 3E model links special assignments, job rotations, and action learning to strategic priorities of the organization, with close attention to business results. Such experiences are designed to improve specific behaviors that are aligned with the expectations of Cisco leaders.

Sequence Experiences by Levels of Responsibility Accelerating mastery requires a sequencing of experiences to meet a leader at an existing level with

challenges that appropriately stretch capabilities in preparation for the next level up. From line managers to the chief executive, developmental experiences must become progressively more complex in the service of higher levels of mastery. For example, a chief executive may require a higher level of mastery in strategic thinking than a manager of a work team. To develop a senior manager for a chief executive role, the experience must be considerably broader in scope and more cross-functional in responsibility. To prepare an individual contributor for a junior management role, the experience may be briefer and less intense.

Managers cannot be thrown into situations and expected to develop on their own. Line managers and human resource professionals need to identify the level of mastery that a particular candidate needs to gain from the developmental experience, and they need to decide whether the candidate is ready to take on that level of challenge. These simple diagnostic questions are useful:

- What is the target group for development?
- What capabilities do people in this group need for their next level of responsibility?
- What is each manager’s current mastery level for each of these capabilities?
- What experiences can further develop particular managers to their next level of mastery?

Once line managers and human resource practitioners know the strategic priority of the organization and the projected level of responsibility of the manager, they can assign appropriate experiences to challenge and develop the manager in targeted areas of mastery. An individual manager’s developmental experience can then be supported by customization using an individualized development plan.

Diversify Experiences to Enhance Versatility

It is not sufficient to focus solely on mastery-oriented experiences. Versatility is another important outcome of experience-based development because managers need to be able to lead in new and unknown situations. To develop versatility, leaders must be continuously engaged in learning from new opportunities that broaden their repertoire of leadership skills and perspectives. Developing versatility requires boundary-crossing assignments.

Table 2.8
Framework of Boundary-Crossing Assignments

Organizational Boundaries	Cultural Boundaries
Vertical: Assignments that require managers to work across organizational boundaries of level and hierarchy. Examples: managerial responsibilities with hierarchical reporting relationships, special assignments with senior executives.	Geographical: Assignments that require managers to work across geographically defined boundaries of regions and nations. Examples: international assignments, regional or global management responsibilities, and management of geographically dispersed teams.
Horizontal: Assignments that require managers to work across organizational boundaries of function and expertise. Examples: job rotations, working in a cross-functional team, or action learning projects involving different subject matter experts.	Demographic: Require managers to lead or work with members from different demographic groups: age, ethnicity, gender, nationality. Where geographical crossings involve cultural boundaries by location, demographic crossings often occur in the same location, with members of different cultures. Examples: management of a culturally diverse team, responsibility for organizational diversity initiatives, mentoring employees of a different culture.
Stakeholder: Assignments that require managers to work across the boundaries of the firm and interface with stakeholders. Examples: managing joint ventures, working with vendors, and responsibility for public affairs or corporate citizenship function.	

Boundary-crossing assignments are those in which managers work across organizational or cultural boundaries with groups that have different sets of beliefs, practices, or goals. For example, a manager might take an international business assignment, join a cross-functional team, or become part of a joint venture with a partner organization. Suchman (1994) notes that "crossing boundaries involves encountering difference, entering onto territory in which we are unfamiliar and, to some significant extent therefore, unqualified" (p. 25). Crossing a boundary places leaders in a new situation where familiar leadership strategies may not apply. In this zone of development, they must either adapt their current ways of leading or acquire new perspectives.

There are two broad categories of boundary-crossing assignments: organizational and cultural. *Organizational assignments* send managers across organizational boundaries of level, function, and accountability. *Cultural assignments* send them across cultural boundaries of identity and belonging.

Table 2.8 further differentiates each category. On the organizational side, leadership development traditionally has focused on a vertical model in which managers develop over time as they graduate upward by levels in the organization. But as Table 2.8 suggests, organizational developmental crossings can be horizontal or can even involve crossing boundaries for engaging stakeholders beyond the organization. Similarly, cultural crossings can be geographic (across distance) or demographic (across identity). To develop versatile and global leaders, it is critical that organizations provide both organizational and cultural crossing experiences.

Diversify Experiences Across Organizational Boundaries Research on executive success highlights the need for cross-functional or lateral moves to instill organizational perspectives and strategic insight (McCall et al., 1988), but coordinating cross-functional moves can be difficult. Many line managers hoard or protect their best people from these moves. Most do not volunteer their best people for transfers, no matter what they endorse as the best way to develop managers.

Sharing talent across an organization does not come naturally and can be risky, but it is possible. The U.S. federal government employs the Intergovernmental Personnel Act mobility program for development. Managers are rotated through assignments within their agency or across agencies to learn how others lead and manage. Peer and managerial feedback and ongoing evaluations are included as best practices for developing leaders (Blunt, 2003). At GE, staffing decisions for the top five hundred jobs begin at the corporate center: HR executives work with the CEO to develop a slate of candidates from all parts of the company. Managers with jobs to fill can then choose any candidate they please.

While traditional career paths that are focused within a singular function may serve the needs of developing technical experts, the development of leaders requires one that zigzags across vertical, horizontal, and stakeholder boundaries. Through such experiences, leaders not only diversify their skills, but also broaden

their organizational perspectives. Different types of organizational boundary-crossing assignments—such as job rotations, working across levels, and working with stakeholders—contribute different essential lessons.

Diversify Experience Across Cultural Boundaries Geographical and demographic boundary crossings can make leaders more versatile. To be effective in a different culture, managers have to learn to suspend their existing beliefs and practices and adapt to their host culture. Companies such as IBM, UPS, Unilever, and Ernst and Young have used geographical boundary-crossing assignments, sending up-and-coming managers into developing countries to learn to lead in a different culture to expand their horizons. IBM's Corporate Service Corps places high-potential IBM employees in emerging and developing countries with specific assignments to address core societal, educational, and environmental challenges (IBM, 2008). The cross-cultural experience exposes managers to diverse policy environments and societal expectations. At the end of their experience, employees return to their previous locale with a broader perspective and new sets of skills that they can apply to their work.

Global action learning projects can also be geographical and demographic boundary-crossing experiences. An example is Chubb's Global Executive Program (Kuhn and Marsick, 2005). Managers from the United States, Europe, and Asia work together on action learning projects to address global challenges facing the firm. The projects reflect a corporate directive to increase revenues from non-U.S. operations. The teams are charged with identifying emerging market opportunities that would serve as next-generation growth engines for their assigned business unit or geography.

Integrate Experiences to Enhance Transfer

The most challenging task in maximizing ROE is integrating learning with processes that support the transfer of learning. For example, assignments have to be integrated with developmental relationships and learning systems that support transfer. Without an integrated approach, the benefit of learning resides only within the individual and is not maximized for the organization.

Integrate Challenging Assignments with Developmental Relationships That Enhance Transfer A study at American Express (Leone, 2008) found that the transfer of learning is enhanced when training or on-the-job learning

is followed through with the support of bosses or supervisors. Managers can play a critical developmental role by following up with direct reports, during and after a challenging assignment, to discuss what is being learned; they can also recognize and reward improved leadership behaviors. When line managers support learning transfer, the lessons of experience generate both performance and learning outcomes within and beyond the work group.

Wipro's Project Management Academy (PM Academy) is a good example of integrating experience-based learning with developmental relationships. Following six months of hands-on training at the PM Academy, participants return to their project teams and work for six months. Participants are assigned mentors who engage them in an assignment to review aspects of their projects. At the end of each assignment, candidates present their findings to PM Academy instructors for review and comment. The entire experience lasts more than one year and incorporates formal classroom training, on-the-job experience, and actual assignments completed with a mentor. Successful participants are picked to return to the PM Academy as instructors to transfer their experience to other participants.

When leaders develop other leaders, a virtuous cycle of leader development is created, and the network of relationships across the organization increases. By working closely with junior managers on organizational challenges, senior leaders can forge a relationship that is both developmental and conducive for the transfer of learning. The increased interaction between current and future leaders serves to break down level barriers and promotes the collaborative and problem-solving capacity of organizations.

Integrate Experience with Learning Systems That Enhance Transfer
Developmental experiences by themselves do not result in organizational impact. To translate individual learning into organizational knowledge requires processes that capture and disseminate lessons learned. One such process is the lessons-learned method pioneered by the U.S. Army. The Center for Army Lessons Learned serves as a knowledge center to assemble, assimilate, and transfer knowledge that soldiers learn on the field. Their four-step model involves identifying learning opportunities, observing and collecting knowledge, creating knowledge products, and deploying expertise (Dixon, 2000). Senior leaders in the army identify where opportunities exist for gaining knowledge about the topics they have identified. For example, the 1994 peacekeeping mission in Haiti was

identified as an opportunity for the army to gain additional knowledge about peacekeeping.

Similarly, NASA, through its Academy of Program and Project Leadership's (APPL) Knowledge Sharing Initiative, has established processes such as knowledge-sharing workshops and forums for the transfer of project-specific knowledge from experienced project managers (both senior level and retiree) to up-and-coming project leaders. Storytelling is the typical medium used in these knowledge-sharing forums and workshops. For example, a one-day transfer wisdom workshop is hosted by individual NASA centers in which project management and team members engage in small group discussions of stories written by top NASA project managers (current and retired agency leaders); this is facilitated by APPL team members (Liebowitz, 2004).

Three steps are necessary to implement this integrated approach. First, a period of facilitated reflection after the experience allows the manager to make sense and deeply assimilate what he or she has learned. Second, a just-in-time process of knowledge capture is needed to codify the lessons learned. Third, a method of dissemination is required for the lessons to be communicated across the organization.

CONCLUSION

The world values experience. In their book, *The Experience Economy,* Joseph Pine and James Gilmore (1999) describe the evolution of societies from agrarian societies, to industrial societies, to service economies, and now to what they describe as the experience economy. They go as far as to say that in this economy, experiences are key value differentiators and that the role of leadership is to create transformative experiences for clients and their organizations. Our research indicates that the experience economy is real: managers today are active consumers of diverse experiences. This represents a significant shift for leadership development—from a top-down instruction-based paradigm toward a learner-centric and experience-based approach to developing leaders. For this paradigm to be most useful, it is important to remember that:

1. *Experience does not always lead to learning.* Learning from experience is not always natural or automatic. To learn from experience involves reflection and relating the experience to its context, connections, and

discrepancies. It requires intentionality and can be enhanced with appropriate systems and processes.

2. *Variation is necessary for experience-based learning.* Differences matter when it comes to experience. In going through diverse experiences, managers can extend the arena of possibilities within which they operate and open up to new repertoires and ways of thinking and acting.
3. *Relationships can catalyze the transfer of learning.* Challenging assignments on their own are insufficient for learning to occur, and often the assistance of a learning partner is necessary for transfer to occur. Relationships provide a source of coaching and feedback through challenging experiences and shape how managers make meaning of their experiences. They are also a source of vicarious learning through observation and role modeling.
4. *Culture matters.* Exposure to different cultures is an important part of each manager's portfolio of diverse experiences. In addition to the substantive cultural knowledge gained, taking cultural learning orientations into account augments the impact of developmental interventions. For example, in collectivist cultures such as China and India, group relationships and relational learning are valued more highly than in individualistic cultures. These learning orientations can be used to shape the type of experiences provided to develop managers.
5. *Learning from experience has clear returns for managers and their organization.* We have proposed three key dimensions to the return on experience: the dimension of mastery, as experience deepens the manager's skills and expertise; the dimension of versatility, as experience broadens the manager's repertoires of skills and abilities; and the dimension of transfer, as learning is transmitted from the manager to their group and organization.
6. *ROE can be enhanced.* Organizations can maximize ROE through sequencing developmental experience to achieve mastery, diversifying experiences to achieve versatility, and integrating experience with organizational processes to achieve the transfer of learning, with impact across the enterprise.

At a time when the demand for leaders and leadership exceeds the supply of either, organizations must consider how they can develop leaders from within. Developmental experiences are a rich resource for doing so. The returns are

evident when leaders who go through the journey of experience-based learning are transformed with broader and deeper leadership capabilities and the transfer of learning through their organization. Experience-based learning, reinforced by the return on experience, can be a powerful methodology for developing and sustaining leadership talent.

chapter
THREE

Feedback-Intensive Programs

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The Center for Creative Leadership's (CCL) feedback-intensive programs (FIPs) represent best practice in leader development. At the heart of CCL's work for more than thirty-five years, FIPs have incorporated research on effective leader behaviors and learning processes, affording individuals a deeper understanding of their leadership strengths and development needs, and enabling them to develop action plans to leverage that knowledge for greater effectiveness in their work and personal lives. The impact of an FIP can stretch beyond the individual to the groups, teams, and even organizations of which they are a part. However, for this chapter, our attention will be primarily on the design and impact of FIPs for individuals.

In this chapter we identify features, mechanisms, and underlying principles of an FIP. We use the ACS (assessment, challenge, and support) model to articulate how an FIP works and what we know about the outcomes of a well-designed FIP. We also include new information on using online tools to follow through with coaching and assessment of behavior change. The Internet-based changes we have

made to our process over the past five years have produced some new learning for us. The chapter also tells how FIPs work globally and how to best leverage the investment.

WHAT IS A FEEDBACK-INTENSIVE PROGRAM?

An FIP is a process that comprehensively assesses an individual's personality and leader effectiveness, using multiple tools and perspectives, and presents those data to individuals in a variety of ways that facilitate greater self-awareness and behavior change. It is a blend of methodologies, combining assessment-for-development tools (such as 360-degree feedback), experiential exercises, direct teaching of practical content from leadership research, peer and staff coaching, as well as goal development and follow-through. All of this occurs within a supportive learning environment, maximizing interaction among participants and faculty.

Unlike leader development programs that focus on knowledge acquisition, using lectures, case studies, and discussions, the FIP focuses primarily on self-awareness through a process of active inquiry. It is also holistic, not relying on any one formula for success, but rather constructing a safe learner-centered environment in which individuals themselves can examine their current situation, revisit their own beliefs, take risks, and modify behaviors they decide are not serving them well. An FIP can also serve to challenge an individual's current mental models (Senge, 2004) and focus on the growth and elaboration of a person's ways of understanding the self and the world (McCauley, Drath, Palus, O'Connor, and Baker, 2006).

Originally we conceived of an FIP as a single face-to-face program. Over time, we have learned that FIPs can span a continuum from a single face-to-face program to multiple face-to-face engagements coupled with coaching, online technologies, and action development projects. An FIP that spans an extended period of time lends itself to a greater impact than a single-session program (McCauley and Hughes-James, 1994; Young and Dixon, 1996). We have found that extending the length of the development process is best for helping participants move through five levels of learning and performance: critical awareness, actionable knowledge, guided application, independent application, and skilled performance. Achieving each of these levels adds complexity to the design, requires more organizational resources and higher commitment, and provides additional value. Regardless of the length or specific design, an FIP should adhere to some primary principles, described below.

Defining Features of CCL's FIPs

FIPs have five defining features, whose combination helps the individual gain self-insight and set goals for change:

• *Rich and comprehensive feedback.* The feedback in an FIP comes from multiple sources (bosses, peers, direct reports, customers, family members, other participants, facilitators, and coaches) using a variety of assessments to measure individual leader characteristics, personality preferences, interpersonal needs, and organizational climate and culture. For managers in global organizations, the cultural sensitivity of the assessments and the availability of these tools in other languages add to the credibility and relevance of the data.

• *Challenging and relevant content.* The models and content in an FIP are meant to challenge participants, so it is important to fully understand the needs of the target population and that program design reflects the complexity and turbulence participants face, is relevant to their leadership challenges, recognizes and capitalizes on the diversity of participants, and is action oriented. The content is typically research based and provides insight for analyzing specific leadership issues, such as coaching a direct report, using influence more effectively, or dealing with organizational change. The intent is to expose participants to new knowledge and perspectives and create insight that leads to increased effectiveness.

• *Multiple methodologies and activities.* Multiple methodologies and activities provide experiences that accommodate a variety of learning styles. These might include assessments, videotaping exercises, outdoor problem-solving experiences, coaching, peer feedback, senior executive interviews, journaling, small group dialogue, large group discussion, and goal setting with online follow-through. These combined methodologies provide multiple opportunities for participants to gain insight into and make changes in their mental models, individual behaviors, and impacts on others.

• *A safe and supportive learning environment.* A safe and supportive environment increases the capacity for learning and development, supports the perspective of each individual, and does not prescribe a specific list of do's and don'ts. Facilitators, coaches, and fellow participants all play critical roles in the creation of a good learning environment. How classroom dynamics are managed,

how data are presented, how issues of social identity are discussed, and how feedback is delivered all determine how well individual needs are met.

- *Integrated assessment, challenge, and support.* Assessment, challenge, and support (ACS), CCL's key drivers for leader development, are woven and integrated throughout the entire FIP process. This framework is one that participants can continue to use as an ongoing process for self-directed personal growth.

Phases of a Feedback-Intensive Program

FIPs can follow various designs and sequences. For simplicity, we describe a prototype FIP with three phases: (1) preparatory, (2) intensive (typically face-to-face), and (3) back-home implementation. An FIP could include one or several classroom-based intensives over time, and each phase could be designed for delivery by technology or in person, or both.

The design of each phase of an FIP should be based on the intended outcomes. For example, if there are three targeted outcomes—increase individual ability to influence across boundaries, set strategy and direction, and balance tactical and strategic opportunities—then in each phase, the assessments, content, exercises, and feedback should be focused on helping an individual gain awareness of his or her current proficiency in these areas and increase the level of performance.

Phase 1, the preparatory phase, is intended to prepare an individual for the second phase, which is intensive and face-to-face in the classroom. Phase 1 activities set expectations for what the participant will experience in the process, review the program objectives, allow individuals to reflect on their own objectives, and let them meet fellow participants (typically virtually). Phase 1 also presents introductory content, gains stakeholder support, and collects initial assessment data. Any or all of these can be accomplished through Webinars, participant discussions with senior managers or a coach, peer group discussions, or a combination of these. Since a major part of the intensive classroom phase will be built on an assessment process, the completion of a variety of personality inventories, attitude surveys, and leadership questionnaires is important at this stage to build information that carries forward into phase 2 and to start the process of individual reflection on capabilities related to leadership.

In the classroom-intensive phase, phase 2, participants come together for the face-to-face experience. The purpose of this phase is to provide participants with feedback based on all of the data collected thus far, engage them in educational and experiential activities, consolidate the assessment data with their insights

from experiential exercises and other classroom activities, create future action plans, and prepare for phase 3 implementation. Creating a dynamic, relevant, and action-packed classroom experience facilitates the acceleration of learning. This acceleration is also enhanced if participants are able to have this experience away from their office and not be distracted by day-to-day work. Critically important to this phase is having the right facilitators and coaches with the knowledge and credibility to both support and challenge participants in their learning. Finally, environmental factors—ample space, lighting, temperature, comfortable chairs, and up-to-date technological resources—add value to the overall experience.

The purpose of phase 3, implementation, is to apply learning and implement goals identified in phase 2. With intentional structuring and design, phase 3 of an FIP is when behaviors change and leader effectiveness improves. The main agenda of this phase is

- Sustaining development as a priority
- Creating accountability for achieving goals
- Documenting evidence of progress
- Providing support for development
- Sustaining a learning community

To successfully engage participants in the full process of development, sustained execution of phase 3 is critical. If an FIP is regarded as a five-day classroom event, maintaining commitment to development becomes a challenge, and any return on investment is unnecessarily limited. If the FIP is understood as an extended process, including preparation, classroom activities, and implementation, the return on investment will be higher. Participants may be reluctant to make this longer commitment, but development is a process, and it takes time and effort. Identifying one's strengths and development needs during phase 2 builds critical awareness, but it is only through guided application that lasting change can take place.

The three elements of leader development—assessment, challenge, and support—are integral to the FIP process.

ELEMENTS OF ASSESSMENT

Assessment provides participants with a picture of their current effectiveness and a benchmark for their future development. In a well-designed FIP, assessment starts in the preparatory phase and continues throughout the intensive classroom and back-home implementation phases.

Sources and Methodologies

To be of most benefit, assessment needs to come from a variety of sources and through multiple methodologies. In phase 1, participants might conduct an interview with a senior executive of their choice. For this interview, the participant would bring a set of CCL-prepared questions to ask the senior executive, and the responses would be summarized by the participant and brought to phase 2 to share with others. The types of questions we include focus on challenges that the organization is facing, specific experiences and lessons the executive has encountered, an informal assessment of the participant's development needs, and the organization's future needs for leadership. Also in phase 1, the participant completes a variety of formal assessments to measure aspects of his or her personality and leadership. These methods include self-assessments of personality, 360-degree feedback, peer feedback, and other methodologies for participant observation and reflection. With feedback provided during phase 2, these assessments paint a comprehensive and powerful picture of the individual's strengths and development areas.

Self-Assessment Self-assessments range from personality assessments, biographical forms, and checklists to health questionnaires. The most common self-assessments in an FIP are personality-based instruments, which provide new frameworks by which a person can understand his or her preferences and how these preferences play out in behavior. These kinds of assessments are useful for showing participants how their own preferences compare to those of other individuals and highlighting the diversity that exists within a group (within the classroom group itself or within the social identity groups that make up the classroom group).

360-Degree Assessment Multirater assessment provides data about how managers' current leadership strengths and development needs are perceived by others. The use of 360-degree feedback is particularly powerful because the feedback comes from a variety of sources, and different rater groups may have different views of the individual. For example, direct reports may rate a manager's supervision skills differently than a boss would. Peers, in contrast, might have a better view of the extent to which the manager works effectively across boundaries. And of course, any or all of these raters might have a different perception from the manager. When the messages across sources differ, this can be frustrating for the receiver (due to lack of clarity) but valuable as well; understanding that

different sources interpret behaviors very differently or that a particularly negative issue is not widely viewed by others is an important insight. When several sources of feedback convey a similar perspective, whether to praise a strength or reveal a development need, the concurrence increases the force and clarity of the message. This clarity also helps point out next steps. When norms are available for the various assessments, participants can compare their scores to a larger database of other executives who have completed the assessment. In a global FIP, country norms can be particularly important because many assessments are developed in the United States, and managers from other parts of the world may not feel that U.S. managers, or even a global sample of managers worldwide, are the most useful comparison groups.

Because powerful feedback of this kind is fraught with potential for misunderstanding, facilitators need to take utmost care to arrange the right context for receiving the data, to explain how to read the report, and to be available for questions and concerns. In a well-designed FIP, participants are provided with several opportunities to reflect on the results, and they will need guidance in putting together a development plan that will help them achieve targeted goals for change and receive ongoing feedback following the FIP.

In the implementation phase, CCL also uses 360-degree assessment to measure behavioral change and resulting impact. This assessment presents a side-by-side comparison of current to prior (before the FIP) levels of effectiveness and reinforces an understanding that the real work of development happens over the long haul, with implementation.

Assessment from Fellow Participants In addition to receiving feedback on formal assessments, participants assess each other during the classroom phase. They may give each other feedback after a videotaped exercise, during coaching role plays, or as part of a systematic peer feedback process whereby they observe each other all week and record and communicate their observations. While this method may be more informal than feedback on a 360-degree instrument, it is important that peer feedback be structured so participants learn to give constructive feedback that is developmental. Peer feedback adds value because peers bring a breadth of experience and often have a sincere desire to help one another learn.

Other Assessment Methodologies Other methods we use for assessment are individual reflection, participant observation of the group, videotaping, and staff-facilitated debriefing. Each of these methods helps individuals see the impact

their behavior has on others and more clearly understand what it means to be effective in a group.

As the participants engage in an exercise, they often gain immediate insights about their own behavior. Taking time for reflection immediately after a task can help them identify and record the lessons learned. Journaling is an effective method for capturing insights and questions. Sometimes after specific exercises, we give participants thought-provoking questions about which to journal. Journals are useful for discovering patterns of behavior, planning future actions, or simply getting out of the "continuous action" mode. They give participants time to step back, assess their effectiveness, reflect on their learning, and think about alternative strategies for the future (McCauley and Hughes-James, 1994).

Participant observation of group work is another assessment method. We ask a few participants to observe the group in action on a particular task, document what worked and did not work, and then share their observations with the group. The participants are often able to observe actions that had a direct impact on the ability of the group to complete the task. This method contributes to collective learning and facilitates discussion about how that can be applied to work groups at home.

Videotaping an exercise is another method for assessing skills and behaviors. After completing the exercise, the participants are given a specific structure for reviewing the videotape. For example, if the overall purpose of the exercise is to demonstrate the ability to influence a group, facilitators provide a structure for viewing the video and participants discuss how they were effective or ineffective in their ability to influence. Participants gain insights from group dialogue and from observing their own and others' behavior on video.

When an exercise is not videotaped, as in a full-day simulation, a trained observer records the actions and behaviors of the individuals participating in the simulation, and the simulation is followed by a series of facilitated debriefs. In these discussions, participants receive feedback on individual and group performance from the staff observer, discuss their own views of how they did as individuals and as a group, and give each other peer feedback. These debriefings are fairly lengthy because it takes time to review important aspects of the simulation content, the interpersonal interactions, and the individual performance issues that were evident.

Integrating the Feedback These forms of assessment—self-assessment, 360-degree feedback, and peer assessment—can support and reinforce one another. Feedback received from fellow participants in the program often mirrors feedback

from back home. Integrating the feedback from various sources helps participants understand not only their leadership skills and behaviors as others see them but also their needs, preferences, and values, and how these lead to behaviors that influence other people's perceptions, positively or negatively.

The more complex and comprehensive the package of assessments used during and following the classroom experience is, the greater the need for the participant to have time with a coach to review the patterns in the data. A one-on-one coaching session during the intensive classroom phase allows the coach and participant to discuss both the consistencies and the inconsistencies of the data and to place this information in the context of the specific organization in which the participant works. By understanding the links between their behaviors and their preferences and needs, participants can understand more about what it will take to change behavior. As a result, they can decide how to modify their leadership approach for a more effective outcome.

Key Issues in Assessment

For assessment to have the desired impact, people need to trust the process and the data. Trust depends on attention to confidentiality, rater anonymity, the reliability and validity of assessments, their cultural relevance, and whether data are used solely for development versus for performance appraisal or promotional purposes.

We maintain confidentiality in two ways. First, we take the position that assessment data belong to participants. The information is not shared by CCL with anyone in their organizations. Participants decide who sees their data. In other words, we use assessment data for individual development purposes only. Sufficient evidence shows that raters tend to score participants more leniently if they know it could affect their salary or promotion opportunities. Such data are less accurate and therefore not so helpful to participants who want to make changes (Chappelow, 2004).

Second, for greater insight, we make it clear in the classroom that participants are free to ask questions, explore issues, and try out new behaviors with complete confidentiality.

In formal assessments, data can be trusted only if ratings are anonymous. When back-home raters know that their identities will not be revealed, they usually answer questions as honestly as they can, often providing feedback that they could not give face-to-face. We also know that when ratings can be attributed

to a source, the scores are often consistently higher (Lombardo and Eichinger, 2000; Tornow and London, 1998).

Trust in the assessment depends on results being reliable and valid (Leslie and Fleenor, 1998; Van Velsor, 1998). Participants deserve ratings they can take seriously to create plans for change. If assessments are reliable and valid, participants know the instrument is well constructed and produces consistent, stable scores; they know scores measure what they claim to measure and that higher scores are related to greater effectiveness. People have many reasons for rejecting tough feedback; the quality of the assessments should not be a reason.

Trust in the assessment also means that participants experience the questions as culturally relevant and free of gender, race, or other forms of bias. A question such as, "Do you prefer Lincoln or Washington?" is not relevant outside the United States. Trust also means that the participants and their raters can complete the assessment in their first language to reduce potential for misunderstanding or error.

ELEMENTS OF CHALLENGE

Every phase of a well-designed FIP has multiple sources of challenge. Assessment and feedback, by their very nature, provide one source of intense challenge: that of looking inward, the discomfort of being observed and rated by others, the fear of having weaknesses exposed, and the ultimate test of goal achievement and behavior change. Structured experiences in the classroom, which take participants beyond their comfort zone, also provide challenge and present participants opportunities to consider the value of beliefs, approaches, or perspectives offered by others (McCauley et al., 2006).

Structured Experiences

Structured activities are group experiences that provide challenge through live-action, task-based interactions that reveal participant strengths and weaknesses in real time. Three common types of structured experiences are simulations, targeted exercises, and action learning projects.

Simulations Simulations are exercises that in some way replicate aspects of people's jobs, situations, or environments. The simulated task can be as small as managing a single in-basket or as large as running two separate organizations undergoing a merger. Simulations ranging from half a day to several days involve a group of people assuming a variety of organizational roles complete with

in-baskets, e-mail, telephones, and computers. Participants are presented with a complex, realistic situation and an intense timetable for solving the issues presented to them. They are then, as individuals or as teams, scored with respect to a "book solution" (for example, how many correct choices were made within a specified period of time) or a database of other groups' scores so that individuals and groups can measure their performance.

Simulations are challenging in many ways. One kind of challenge is that the participant is being observed and rated on how quickly or how well he or she can prioritize information, communicate critical information, respond to others' needs, and make good decisions. Other challenges occur when participants take on roles in the simulation that are quite different from positions they have held previously. For example, in one simulation, participants run a glass company for a day. A key role in this simulation is that of CEO. The person acting the CEO role must grapple with issues of ethics, strategy, global expansion, multiple stakeholders, acquisition of new businesses, and the selling of less profitable ones. Further challenge emerges when individuals must work closely with and rely on others they do not know. When participants are working to master the elements of the simulation, untested assumptions and lack of attention to relationships can lead to ineffectiveness.

Targeted Exercises We use short experiential exercises to deepen participants' understanding of specific content or specific themes of the FIP. Targeted exercises are not as extensive as simulations in replicating an actual work environment, but they facilitate working in real time on realistic problems and dilemmas. Targeted exercises usually focus on one or two specific aspects of a leader's responsibilities, such as communication, influence, or challenging assumptions. They usually involve small group work with groups assigned a task and accountable for an outcome in a limited time period with or without specific instructions about process.

Targeted exercises are sometimes conducted inside the classroom, in breakout groups, or outdoors. The outdoor environment provides opportunity for examining organizational issues using physical challenges, from trust walks, in which participants are blindfolded and led by other participants through an unfamiliar area, to more intense team-orienteering experiences. Many participants report that simply engaging in outdoor problem-solving activities gives them permission to experiment with new behaviors and a greater willingness to test out assumptions about who has what information or what actions are allowed.

Like simulations, the true test of any targeted exercise is whether what has been learned can be extracted in subsequent debriefing and reflection.

Participants are challenged by targeted exercises to demonstrate strengths, try new behaviors, test their knowledge and experience, question their thinking, and work outside their comfort zone. They are challenged by an unfamiliar problem when information is vague and the directions are ambiguous. They are challenged when they learn that what made them successful in one context does not always serve them well in another. Sometimes participants experience challenge in balancing the need to have their own ideas implemented with the group's need to have the best possible solution. As a result, it is not uncommon for participants to feel insecure about their effectiveness and recognize they still have a lot to learn about themselves.

Action Learning Projects Often conducted during phase 3, an action learning project is a structured, challenging experience. Typically an intact or cross-functional team works on it together over time. Action learning projects provide real-work challenge. The projects often involve a coach who helps team members monitor progress toward task and learning goals and also to monitor the process of team dynamics—communication, decision making, interpersonal styles, and trust building.

As an example of an action learning project, a team might be tasked with examining the viability of a new organizational process. The team decides how to work together, agrees on the rules of engagement, monitors its progress and process, and reports the findings or conclusions to the senior leader who requested the project. Since actual work challenges are used, the outcomes are relevant to the organization, and often they are implemented.

Encountering Different Models and Perspectives

In any phase of an FIP, a key source of challenge can be an encounter with new information or perspectives different from one's own (see Chapter Five). When participants engage with new content or novel frameworks, they are challenged to reframe existing paradigms, change how they are leading others, or add depth to their experience and tools. And most people are most comfortable working with individuals who share their own style, perspectives, values, and opinions (Sessa and Taylor, 2000). Working with a diverse group of individuals, participants often discover there is more than one way to frame an issue, resolve a problem, or handle a situation; with that, they realize that they need to optimize the effect

of differences back home rather than treat differences as a nuisance or point of conflict.

Diversity is a necessary but not sufficient condition for learning. Sometimes the conflict or tension of differences stays under the surface and is never explored. This is particularly true when we move beyond discussions of personality differences to issues of gender, race, and ethnicity. The volatility of these issues in organizations and society at large can make them difficult to discuss in the classroom. A powerful FIP will provide opportunities to speak about the unspeakable. Effectively engaging in these discussions requires skilled facilitation (surfacing issues and modulating the conflict that arises) and the participants' willingness to engage in the exploration of differences and commonalities.

ELEMENTS OF SUPPORT

To develop as leaders, people need both the challenge of the unfamiliar and the support of the familiar. The unfamiliar encourages them to stretch; the familiar helps them stay open to what is possible by validating their strengths and reinforcing who they are.

A safe and supportive environment is necessary throughout the FIP for participants to appreciate their strengths, feel accepted and respected, view feedback as relevant and useful, define what is important to them, and develop a workable plan for desired change. When encountering challenge in any kind of experience, people often lose sight of what they are doing well and focus on areas where they feel less competent and more vulnerable. Without adequate support, being challenged by new data and unfamiliar or difficult activities can lead to overwhelming feelings of incompetence. If this anxiety is allowed to get out of hand, it can keep participants from fully exploring their feedback, which in turn inhibits their learning.

The content of a program challenges participants to regard feedback in a wider leadership context; the process side enables them to deal emotionally with feedback and connect it meaningfully to their work and personal lives. When facilitators and coaches model behaviors conveying support, participants will begin to enact these attitudes and behaviors with each other. As they become more open and candid, a bond of trust forms, enabling program staff and participants to challenge and be open to others' perspectives. In this way, the group becomes a true community for learning.

Logistical choices can also help in establishing a learning community: the physical room setup (small group tables rather than stadium seating), the process

of forming small teams (maximizing the number of participants each person interacts with during group activities), the physical break areas (being conducive to impromptu conversations), the timing of breaks, and, in our case, the sharing of transportation back to lodging (encouraging interaction during transit) or being lodged in the same building. All play a part in community building.

The program facilitators bear responsibility for setting these supportive processes in motion. Specific practices include good facilitation techniques, teaching to different learning styles, integrating real organizational examples, encouraging participants to share perspectives, allowing them time to practice new behaviors, and providing them with opportunities to consolidate feedback.

Facilitating Participant Learning

The program facilitators contribute more than knowledge of the content and facilitation of stimulating activities. They consciously enact attitudes and behaviors that facilitate participant learning. To create a community where participants feel safe and are willing to listen to feedback, facilitators must do the following:

- *Relate to each participant with personal authenticity.* Being authentic means not pretending to have competencies or knowledge one lacks. Experienced program leaders freely admit when they do not know something and use the opportunity to ask others to share their opinions. This attitude is crucial because it sets a tone that it is acceptable not to know everything, thereby allowing participants to feel free to take the risks that lead to learning.

- *Be comfortable with self-disclosure.* Appropriate self-disclosure is another important facilitator behavior. Done in the right measure, self-disclosure helps pave the way for participant self-disclosure. This reciprocal vulnerability allows participants to more fully discuss the challenges they are facing and the feedback they are receiving.

- *Put the participants' needs first.* Facilitators must be willing and able to put participants' needs first and respectfully meet the participants wherever they are developmentally and emotionally. To meet participants' needs to feel accepted, respected, and cared for, facilitators must find a way to connect personally with each individual. In the classroom, a facilitator makes eye contact, acknowledges each person's contribution, recognizes when a participant may not understand

the material or has a question, and takes whatever time is necessary to ensure that each participant is having a valuable learning experience. This means taking the time to get to know the participants, their unique ways of looking at the world, and their special areas of expertise. Facilitators who are fully present and listen actively allow participants to feel heard and valued.

• *Acknowledge each participant's situation and perspective without passing judgment.* Facilitators must project a sincere nonjudgmental attitude about each individual's way of understanding self and others. When participants examine their personality profiles or feedback from back home, they frequently ask, "What's the best way to be?" The best answer is that there is no one best way to be, although certain ways may be more effective than others in some situations and with some people. This type of response helps the participants not defend their own beliefs and behaviors but instead become more open to a range of possibilities.

• *Be nonprescriptive in discussions.* Good facilitators do not tell participants exactly what to do. This nonprescriptive stance helps participants take responsibility for their own development. When participants insist on getting the "right" answer, staff must guard against the temptation to want to be "helpful" by providing seemingly definitive answers. In fact, providing answers for participants is probably the least helpful thing they can do. The role of facilitators is to facilitate the process whereby participants themselves come to decide what the feedback means to them, what their development needs are, and how best to go about tackling those.

Teaching to Different Learning Styles

If the goal of a program is to provide optimal support, participants should be able to learn in ways that suit them best and at a rate that feels comfortable. This can require multiple techniques that cater to different learning styles. Some may learn best by observing or listening to others. Others may be more comfortable learning by taking action themselves, in exercises, simulations, and outdoor activities. Still others learn through interaction with other people, by seeking advice from staff or discussing issues with peers in a group setting. Although many people are not comfortable with reflection as a way of learning, most people need time to reflect on the information they receive if they are to integrate it effectively into their thinking and their future behavior. To be most effective, an FIP needs to provide all types of learning opportunities so that participants can work within their

preferred style and try new ones. Also in today's ever-changing environment, learning to learn is an important skill for effective leadership (Vaill, 1996). Also important is helping participants see the value of learning how to learn.

Integrating Participants' Organizational Contexts

In the most effective FIP, the facilitators and coaches learn about participants' organizations, industry, and market issues and integrate that information into all phases. This information helps facilitators enable participants to translate learning into practical application. Good facilitators do their homework on each participant by reviewing biographical information along with preprogram questionnaires and scored feedback reports. They also read about the latest issues the participants' organizations are facing. They listen and watch closely for clues about the participants' interests and concerns. They are quick to use examples highlighting current business issues in order to translate classroom learning into the workplace.

Encouraging Perspective Sharing

Participants bring with them a wealth of experience and knowledge. Skilled facilitators look for ways to pull that expertise into the discussions so that the larger group can benefit from shared information. To stimulate the sharing of perspectives, facilitators might ask participants to describe how the content is connected to their experiences, brainstorm ways of using the content, or talk about their opinions on an issue under discussion. This sharing of perspectives and expertise helps participants understand that their experience is of value and that each person has something to learn from others, no matter how different they seem to be.

Encouraging the Practice of New Behaviors

To get beyond the awareness level of learning, participants need a firsthand experience of using new approaches in a safe environment and an opportunity to receive additional feedback on their attempts at change. They need to be able to make mistakes and experience the discomfort of engaging in new behaviors so they will be better prepared to attempt change and build a level of mastery when they return to work.

One example of how we encourage participants to practice new behaviors is in the giving and receiving of feedback. Many of the managers who attend our programs are uncomfortable with providing feedback to others, particularly negative feedback. Most do not feel highly skilled in this practice, and they lack

models or tools to help them provide developmental feedback to others or receive it themselves. Yet in both an FIP and in the workplace, people need to be able to give and receive constructive feedback.

To help participants gain this skill, we teach a model called situation-behavior-impact (SBI). With this model, accompanied by extensive practice in the classroom, participants learn to construct a feedback message that captures the specific situation ("On Tuesday at the lunch table with Joe and Ellen"), describes the behavior ("you spoke at the same time that I was speaking"), and relays the impact ("and I felt disrespected"). Participants practice this new behavior during a module designed for this purpose and then throughout the rest of the program, with the intent of making it a new habit they can carry forward into their work and personal lives.

Providing Ample Time for Consolidation of Feedback

The volume of feedback in an FIP can be overwhelming. To support the person in focusing on the key elements, we provide specific opportunities for individuals to consolidate the feedback. This is often a challenge when the pressure to meet all program outcomes in a shorter time frame is increasing. However, it is important not to let other parts of the classroom experience run so long that they leave too little time for consolidating feedback.

Skilled coaching in a designated coaching session provides an important opportunity for consolidation of information. In an interactive, confidential session, the participant and the coach work one-on-one to learn as much as they can from all the feedback the participant has received. Together the two explore the implications, consider the next developmental direction for the participant, and agree on some possible areas for change and related action plans. In these, the coach can individualize the learning for the participant by taking into account the participant's unique situation—career stage, challenges, aspirations—as they work together to consolidate information. Rarely do managers have the personalized attention afforded by these sessions, and it can be an exciting process of discovery, confirmation, and action.

Extending the relationship between the participant and coach during the implementation phase can be of critical value to support the participant in creating real change. This can occur face-to-face, by telephone, or in an online format. These coach interactions help transfer learning from the classroom into implementation, increasing individual and organizational impact.

SUSTAINING ASSESSMENT, CHALLENGE, AND SUPPORT THROUGH THE IMPLEMENTATION PHASE

Specific design considerations support transfer of learning and development during phase 3 implementation. These activities, such as goal follow-up, formal coaching, and alumni programs, are presented in Table 3.1 and may be used separately or in combination. For example, goals set by individuals can be tracked with an online follow-through system and supported by telephone coaching. Blending the technology of an online follow-through system with personalized coaching support is a design used by some of CCL's FIPs.

Without support for following through on goals, participants are unlikely to leverage the insights drawn from phase 2 by taking action and doing things differently. Often goals are forgotten if the classroom-intensive phase is considered the main event. But since development goals are process oriented—meaning they tend to be stretch goals accomplished over time rather than simply action items that can be crossed off the list quickly—support must be strong in phase 3.

In many of our FIPs, participants' goals are entered into an online follow-through system at the end of the classroom-based program. This format drives visibility and accountability for progress and allows impact, as measured by goal attainment, to be more readily identified and summarized. E-mail reminders are sent every other week, prompting participants to access the system and update their progress toward goals. Within the secure online environment, participants are asked what they have done to make progress on their goals, how much progress they have made, and what they will do next. Participants can observe their cohort's progress and offer coaching, suggestions, or support to each other. Also available online are ideas for next steps and for overcoming challenges, as well as related resources, such as publications.

An online follow-through system also gives participants access to the CCL coach. Participants can request coach feedback and support, and they can share goal progress with their own manager as well. Coaches respond by e-mail and log their responses into system archives that participants can access later. This archived online documentation of progress is helpful for development or performance conversations during the implementation phase and beyond. The online system also provides the FIP designers a constant source of information regarding the challenges and triumphs of participants moving through phase 3, potentially informing design decisions and facilitating evaluation of outcomes.

Table 3.1
ACS Processes for the FIP Implementation Phase

Processes	Description
Goal follow-up	
Goal letters	Participants write a letter to themselves describing their goals. The letter is mailed to them during implementation phase as a reminder of what they intended to accomplish.
Goal reports	Participants commit to three or four goals plus action plans to achieve these goals. Three months after phase 2, CCL asks for an update on their accomplishments.
Online goal follow-through	A platform for participants to state their goals, provide updates on their progress, ask colleagues for advice, and report completion of goals.
Formal coaching	Formal coaching focuses on the action plan created during phase 2, the individual's organizational context, and the ability for the participant to take identified action. Coaches can serve a number of roles, including feedback provider, sounding board, feedback interpreter (assessment); dialogue partner, accountability partner, role model (challenge); and counselor, reinforcer, and cheerleader (support).
Peer groups	
Learning partners	Learning partners are triads from phase 2 assigned to assist each other in phase 3.
Action learning teams	Action learning teams are small groups that work on a key business or leadership challenge, often involving organizational stakeholders.
Alumni programs	These programs bring participants together to discuss as a group what is going well and what is not and to provide opportunity for sharing additional leadership content.
Follow-up 360-degree feedback	Participants take a 360-degree instrument to assess behavior change.
Debrief meetings	Participants meet with their managers or other senior executives to debrief the phase 2 experience and communicate learning and action plans.

OUTCOMES OF A FEEDBACK-INTENSIVE PROGRAM

Outcomes of FIPs can be unique for each individual depending on age, career stage, aspirations, organizational climate, and style preferences. The wide-ranging possibilities make assessment of outcomes more complex and generalization difficult (Day, 2000; Denton, 1995; McCauley and Hughes-James, 1994), as each participant draws from the program what is personally appropriate and desired.

Despite this, CCL has gained good insight from four decades of evaluation research. Both quantitative (for example, 360-degree feedback about changes made in implementation phase) and qualitative methods (for example, telephone and in-person interviews) reveal a broad range of outcomes (Wilson, 2005): learning reflected in goals set in phase 2, goals attained during phase 3, increased self-awareness as a result of feedback received, behavior change evident during back-home implementation, and the impact of change on the individual, work group, or organization. Here, we examine three sources of outcome data from one of our FIPs: goal content and attainment information, participants' comments about the impact of reaching those goals, and a brief summary of evaluation research from CCL FIPs over the years.

Goal Content and Attainment

Phase 2 learning outcomes are evident in goals chosen by participants. The goal report form displayed in Exhibit 3.1 is used by participant and coach working together. The form structures the intent to take learning into action, notes evidence of progress, and identifies the personal and organizational benefits desired. Although FIP outcomes are individualized, there are aggregate trends in intentions to change that show up in goal content.

Across all CCL campuses (as well as in the Latin American sample), work-related goals are the most common among CCL participants (35 percent of goals), closely followed by personal goals (29 percent) and family goals (24 percent) (Santana, 2008). Table 3.2 illustrates this range across all CCL campuses; most goals have to do with building and maintaining relationships, balancing work and nonwork activities, managing and improving self, career development, and developing others.

The online follow-through system described earlier is accessed at least once by 79 percent of CCL participants. Although participants complete goals in every category, building and maintaining relationships comprises 32 percent of

all completed goals, while developing others and career development represent 12 percent and 10 percent of completed goals, respectively. In our online goal follow-through system, only those who report goal completion are asked about the personal or organizational impact of completing each goal. Impact is typically evident at the individual, interpersonal, team, and organizational levels. Table 3.3 shows examples of participant statements—compelling evidence of positive outcomes of an FIP in all four areas of impact.

Summary of CCL's Evaluation Research

Of those who participate in the CCL phase 3 follow-up survey, 99 percent of respondents and their observers report improved self-awareness, interpersonal skills, ability to lead change, resilience, and goal-setting skills. Other outcomes cited include developing strategies for continuous learning, effecting personal

Exhibit 3.1
Goal Report Form

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

Evidence of my progress over the next 10 weeks will include these measurable results or improvements observable by others:

The personal benefit for me will be:

And/or
The benefit to my organization will be:

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

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

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

Table 3.2
Goal Category Distribution for All CCL Campuses: Leadership Development Program, 2006–2008

Goal Category	Number of Goals
Build and maintain relationships	2,645
Manage self, self-improvement[a]	1,153
Career development	956
Develop others	914
Life balance, balance work and nonwork	786
Increase or improve self-awareness[a]	619
Manage change	291
Develop adaptability	184
Demonstrate leadership	103
Build effective teams	99
Differences matter; value and leverage difference[a]	42
Make effective decisions[a]	20
Global awareness[a]	3
Other	468

[a]A relatively new goal category heading.

change, and experiencing progress on organizational projects (McCauley and Hughes-James, 1994). Wilson (2005) says 84 to 87 percent of participants reported positive behavior changes during CCL phase 3, and 91 percent of those respondents had achieved or were still working toward their development goals three to six months into phase 3. Wilson's summary of past research also reports outcomes beyond program objectives: improved relationships with family and friends, increased personal happiness, help with personal problems, and clarification of personal values.

A striking, powerful, and frequent outcome of an FIP is a combined change in awareness and perspective that causes participants to report feeling that they have become "a different person." A distinguishing feature of this type of change is that participants who report such changes do not attribute them to any single lesson or component but to the program experience as a whole. The reasons for the changes and developmental outcomes, according to the participants, are having the time to look within, as well as receiving feedback from peers, staff, and assessments (Wilson, 2005).

Table 3.3
Participant Reports of the Impact of Achieving Goals

Individual impact	"Accomplishing this goal was extremely beneficial to me. It added a human touch for my associates to see. I even receive occasional thanks, so I know it is working." "I no longer have to focus so much on proving myself to others. My value is apparent. I'm secure and am now focused on demonstrating the value rather than just trying to do more. This has bolstered my internal and external confidence, which helps working relationships and helps my organization better understand how to leverage my strengths."
Interpersonal impact	"Completing this goal has positively impacted my ability to accept and act on feedback received from my boss and coach. It's great to see results on how my team responds to new behavior." "People walk away from me knowing exactly what is expected or understanding exactly what was communicated. Time savings are also apparent, as less follow-up and repeat communications are required to get work done."
Team impact	"I feel closer to my peers personally and professionally. This has built a more closely knit team." "I'm more engaged at work, and I'm helping my company by offering ideas for change. I'm experiencing greater satisfaction." "I have a great team—not only in skill level, but motivation to work as a team and achieve results that are difficult to find in other teams and organization development."
Organization or system impact	"Not only has this project provided opportunities to become more effective and efficient in information flows, I feel that goodwill resulted and better relationships between departments sharing a database. Previously people were creating their own contact lists. With multiple listings, it was hard to control documentation and updates. Now we have a common knowledge base controlled, but all are able to extract information as they need it." "I instituted a way for nonsalaried personnel to give me feedback and talked to them about their personal goals and aspirations." "Improved relationships with staff that was evidenced by boss during last visit."

While some outcomes of an FIP are evident quickly, other outcomes take time. A process of self-awareness and behavioral change that might ensue as a result of working on development goals requires intentional support during the challenging follow-through phase and is aided by the types of assessment described here. Behavioral change, especially in the interpersonal domain, requires sustained effort (Goleman, 2000). Extending the implementation phase—providing intentional assessment, challenge, and support at work to build significant levels of mastery—is a critical design issue for those interested in getting the most from the process.

USING A FEEDBACK-INTENSIVE PROGRAM GLOBALLY

A global FIP is one that draws participants from a variety of countries and cultures. This type of learning environment can be rich and valuable for new and experienced leaders who have global responsibilities and must develop cultural intelligence (Van Dyne, Ang, and Livermore, in press). Interacting with participants from all over the world, leaders see firsthand how stereotypes flourish, that mental models of leadership vary, that analogies (sports, military) are not universal, that targeted exercises and simulations are approached differently, and that language can be a barrier to understanding. Through these experiences, leaders come to recognize that their deeply rooted assumptions are not always held by others and that they themselves need to be open to other ways of knowing.

A powerful global FIP starts with a design that takes the diversity into account. All assessment materials should be provided in appropriate languages, communications edited for universal understanding, and Webinars or teleconferences scheduled to account for various time zones.

During the classroom-intensive phase, it matters how the facilitators integrate the participants' cultural contexts and maximize intercultural exposure. The facilitator can use diversity as an advantage for helping participants learn how leadership operates in various cultures. The classroom can be the environment where cultural stereotypes are shared and challenged to increase awareness without creating unnecessary conflict. Tools for leaders may need to be modified for application across cultures.

Structured experiences (exercises and simulations) may need to be modified for global relevance. For example, providing a team problem-solving activity with

a blizzard as the context may not work well in Dubai. Experiences can also be tailored to teach certain areas of content, such as what it means to lead a global virtual team or to work across different cultures.

Because language differences may be present, facilitators should speak clearly and avoid colloquialisms. They can also read exercises out loud so that reading comprehension is less of a barrier. Facilitators can demonstrate the value of the learning community by asking individuals who speak the same language to translate for one another. Providing one-to-one coaching sessions in participants' native languages drives value by helping them more quickly transfer learning into action.

Other processes can be used in global FIPs to enhance the learning environment of different cultures. Participants can share stories and traditions. For example, facilitators might ask participants to share the origin of their names or phrases in their native language. This highlights the importance and value of each perspective and models a technique to leaders of valuing the unique cultures of their teams back home. In phase 3, culturally diverse learning partner groups can extend the learning of a global FIP. These partners can access each other directly or online to solve cultural issues in the workplace.

LEVERAGING THE INVESTMENT

An FIP can be a short, face-to-face initiative or a year-long development process. In each case, the organization and the participants are spending valuable time and dollars. Now, more than ever before, companies demand a return on that investment and experience. Chapter Nine will say more about how to measure returns. Here, we discuss how a line manager or a human resource professional can maximize the opportunity.

First, one needs to know whether an FIP is the appropriate developmental experience or whether another experience, such as individual coaching, a developmental assignment, or an online course, might be more useful. Research shows that an FIP is particularly useful for people who have recently taken on management responsibilities, have had a significant change in the scope of their responsibilities, or are facing significantly different job or personal demands because of other organizational (or life) changes (Van Velsor and Musselwhite, 1986). We also know that selecting and developing people for their next leadership step are best accomplished when they are effectively working at the level to which

they are currently assigned (Charan, Drotter, and Noel, 2001). In general, the following circumstances appear to call for an FIP:

- *When developing the careers of people identified as high potential.* Organizations often feel that full and complete assessment of the strengths and weaknesses of their future leaders is a worthwhile investment.
- *At a time of career transition—to a new organization, a new role, or new responsibilities in the current job.* Integrating feedback from many sources can help a manager recognize that new challenges require additional skills and new behaviors.
- *When someone shows signs of potential derailment.* Being passed over for promotion, faltering in performance in normally strong areas, and interpersonal difficulties are all signs pointing to a need for a comprehensive assessment and feedback.
- *When the organization is attempting to blend or change the culture,* shift the organization's strategy, or work with a merger or acquisition. The need for understanding differences, thinking in different terms, and driving change effectively can be accomplished in an FIP.

In addition to choosing the right moment in an individual's working life, it is critical to choose or design the right kind of FIP for the individual or for a cohort (for example, all division vice presidents) within an organization. Will the FIP be public, open enrollment, or targeted and customized to a certain group? An open enrollment program is one attended by managers from different organizations. Organization-specific programs are developed and run for a single organization by a vendor (such as CCL) or by the organization itself. Each format offers benefits, and each has drawbacks.

In an open enrollment FIP, participants can interact with and learn from a diverse set of people from different organizations, different industries, and different cultures. Commonly participants learn that issues are often similar across different organizations and even cultures. A benefit of this environment is that everyone has access to the breadth of experiences and best practices occurring across a number of organizations. Another benefit is that the sense of trust and confidentiality can often be greater among individuals who do not work for the same organization. At the CEO level, for example, open enrollment is likely to work best because it gives CEOs an opportunity to work with a diverse group of

peers. Open enrollment is also an ideal format in a global environment where participants need access to a culturally diverse classroom.

An organization-specific program, by contrast, can afford greater leverage in effecting organization-level change because it can be targeted to a specific group and specific organizational issues and challenges. When participants from the same organization experience an FIP simultaneously and develop a common language, the potential impact on the overall organization is greater. The organization-specific program can increase communication and team building, for example, in an organization that is geographically dispersed. It is also effective with an identified high-potential group, where the intent is both to develop each person and enable all individuals as a group to develop a network, learn more about their organization, and develop more effective relationships among themselves.

The benefits and drawbacks of any choice can be maximized and minimized respectively by attending to several variables: the involvement of the participant's direct manager, accountability for action plans, availability of additional coaching and feedback through the implementation phase, and some form of assessment noting change. "Lack of manager involvement is the most common reason that training fails to produce improved performance" (Jefferson, Pollock, and Wick, 2009, p. 6). This includes meetings prior to the FIP to set expectations for improvement as well as follow-up after the FIP to assess progress, recognize achievements, and further development planning.

CONCLUSION

There is more and more pressure to accelerate how leaders learn, grow, and develop. Over time, organizations can develop an effective process that combines methodologies to meet the changing needs of leaders as they progress throughout their careers. FIPs—no longer five-day, one-time, face-to-face events—play a vital role in this development process when they are designed and delivered effectively.

This chapter has set out the key principles, essential elements, and variety of outcomes for FIPs. Program planning must begin by capturing the needs of the client or audience and identifying the critical outcomes. It needs the right team to design and deliver the appropriate learning experience. And the developmental FIP experience must be linked to the work environment through projects, dialogue with bosses, and ongoing feedback to provide a powerful framework for leveraging this investment in leader development.

chapter
FOUR

Leadership Coaching

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Douglas D. Riddle

Leadership coaching is a potentially powerful means of development in its own right and can be particularly powerful when used to amplify other learning experiences. Growing confidence in the power of coaching has dramatically expanded its use. The number of professional coaches globally doubled between 2001 and 2006 and was estimated at thirty thousand in 2008 (International Coach Federation, 2008). Another recent survey found that nearly two-thirds of responding organizations planned to increase their use of coaching over the next five years, and 92 percent of leaders being coached said they planned to use a coach again (Bolt, 2008). Parallel to this growth in the use of professional coaches is an increased emphasis on the role of managers as coaches and developers of others in their own organizations. As a result, we have witnessed a striking increase in requests for programs and processes that help leaders and human resource professionals become better coaches of their direct reports, peers, and even bosses.

Despite the popularity of coaching, its power, like that of any other method used to develop leaders, depends on the quality of its design and execution. Over the years, much of the Center for Creative Leadership's (CCL) leadership coaching practice has focused on the craft of coaching individual leaders and expanding the capacity to deliver coaching services around the world. The first part of this chapter provides the broad framework that guides CCL's coaching work, summarizes the principles of coaching, and describes how the elements of the framework can play out differently in different cultures. CCL coaching faculty have written extensively about the methods used in working with leaders (see Riddle, 2008; Ting and Hart, 2004; Ting and Scisco, 2006), and we do not repeat that level of detail here. The chapter then focuses on more recent efforts to expand the use of coaching for leadership development and addresses how organizations can effectively incorporate a range of coaching experiences into their leader development systems and use coaching as a force for organizational learning and change.

A FRAMEWORK FOR COACHING

Leadership coaching is a practice in which the coach and the person being coached, that is, the coachee, collaborate to assess and understand the coachee and his or her development needs, challenge current constraints while exploring new possibilities, and ensure accountability and support for reaching goals and sustaining development (Ting and Hart, 2004). The goal of coaching is to improve the effectiveness of the leader, as well as his or her team and organization. Leadership coaching uses the relationship between the coach and coachee as a platform for questioning assumptions, stimulating reflection, creating or expanding options, and growing perspectives.

The underlying concepts of effective coaching are the same whether the coach is a professional coaching expert or a leader who uses coaching skills to improve the leadership capacity of others. Although it is sometimes aimed at remedying a gap or correcting a fault, coaching is increasingly used to help already successful leaders move to the next level—helping them prepare for increased responsibilities, accelerating their acclimation to a new challenge, and widening their ability to address complex challenges.

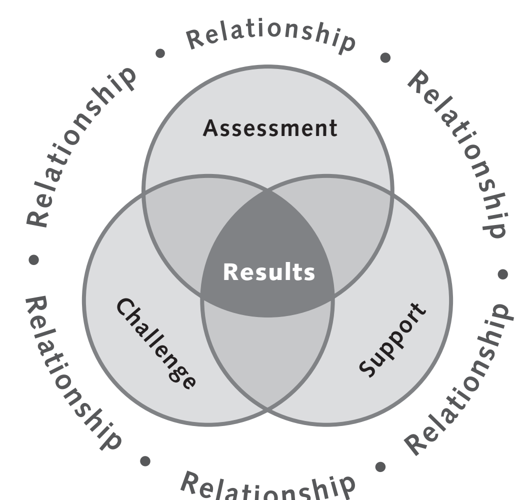
CCL's coaching framework (see Figure 4.1), rooted in established models of adult learning and informed by practical experience, has three key aspects (Ting and Hart, 2004; Ting and Riddle, 2006):

- *The relationship*—the context within which the coaching occurs
- *Assessment, challenge, and support*—the core elements that drive leader development (see Introduction)
- *Results*—the visible outcomes that coaching focuses on achieving

Relationship

What distinguishes coaching from other developmental experiences is the critical role that one person, the coach, plays in challenging and supporting another person, the coachee, to engage intentionally in the developmental process and in helping the coachee pull important lessons from his or her experiences. This kind of intense interpersonal work requires the development of trust between coach and coachee. Trust is built through an openness and willingness to engage in the relationship and through mutual commitment and respect. In a trusting relationship, coachees know that the coach understands them, takes their challenges seriously, and will maintain a safe environment for discovery while also challenging them for greater insight and more effective action. In a relationship that allows the coach to push when necessary, question as needed, and support or encourage when helpful, trust will grow.

Figure 4.1
CCL Coaching Framework



Assessment, Challenge, and Support

Assessment yields clear-eyed, honest information about coachees, including their strengths and limitations as leaders and the challenges and opportunities that surround them. Coaches use both formal and informal mechanisms to get the most complete data about the person and his or her circumstance. A comprehensive assessment can both reveal potential blind spots and highlight strengths that can be leveraged toward continued growth. With this information, the coachee and the coach can discern where the opportunities for development are and where attention and energy can yield the greatest impact.

Challenges come in many forms but have one thing in common: they create disequilibrium—an imbalance between current skills and demands that calls for people to move out of their comfort zone. Coaches generate disequilibrium through their conversations and careful questioning that compels coachees to think about their thinking, that is, to explore the patterns of thought, motivation, and emotion behind their actions. As a thought partner, the coach can challenge thinking, support exploration, provide alternative perspectives, and promote accountability for progress. Coaches also help coachees set and execute development goals with the right amount of challenge. Too small a challenge minimizes growth; too much challenge can overwhelm and discourage the coachee. And coaches work to ensure that the goals are important not only to the individual but also to stakeholders in the organization and the organization overall.

Support reinforces changes in both behavior and performance. Coaches can provide support in a number of ways: helping coachees tap into what really matters to them, offering encouragement and affirmation, facilitating access to resources and the identification and removal of barriers, creating systems of accountability, and celebrating small wins and managing setbacks. However, support means different things to different people, and coaches need to explore with each coachee what he or she needs and wants in the way of support.

The coaching relationship also offers the coachee an opportunity to learn how to replicate an effective learning process that he or she can continue to use beyond the relationship. In other words, coaching can foster a virtuous cycle of learning through which the coachee becomes a more self-sufficient learner. In this way, coaching fosters the expansion of a coachee's capacity to learn and carry that ability into future roles.

Results

Effective coaching always moves toward goals or objectives that are measurable and contribute to individual and organizational purpose. Desired outcomes need to be defined at the onset of the coaching relationship and evaluated periodically over the course of the coaching engagement. Three types of result are generally sought: behavioral change, performance improvement, and personal and professional development. Results should be judged by multiple means, which can include self-assessments, 360-degree assessments, interviews with coworkers, and documentation of accomplishments. (See Chapter Nine for more on evaluating leader development interventions.)

A coaching framework such as the one in Figure 4.1 serves as a general guide for understanding and engaging in coaching relationships. Using an explicit framework fosters a coaching mind-set and an increased appreciation for the complexity of coaching. Coaches can use the framework as a way of reflecting on their own effectiveness as a coach, asking how they are applying the elements of the framework to individual coaches, and noticing if some aspects are neglected and others overdone. A coaching framework is intended to advance disciplined thinking about the various aspects of a coaching mind-set and behaviors and is not intended to be a formula.

While much has been debated about the distinction between coaching for performance and coaching for development, the distinction can be simplified. Coaching for performance improvement generally centers on the behavior of the coachee: what needs to be done differently, more of or less of, and how to achieve the behavior change. Coaching for development generally centers on the thinking behind the behavior: generating alternative perspectives, reflecting on what-ifs, and thinking about thinking. Performance coaching and coaching for development are not mutually exclusive categories, but the focus on development assists the coachee to become his or her own coach for future learning.

PRINCIPLES OF COACHING

CCL's framework or model of leadership coaching is complemented by six principles for helping leaders develop clarity of purpose, balance reflection with action, and highlight accountability for results. These principles of effective coaching provide insight into how coaching relationships foster leader development.

Principle 1: Create a Learning Environment

The coach is responsible for creating an environment where the coachee feels safe to take risks, experiment with new ideas, reflect on experience, and practice new skills. The coach must ensure that the coachee understands what coaching is (and is not) and that the process provides positive movement in the direction specified by the coachee. When the coach is internal to the organization, particularly when a leader is coaching a direct report, the coaching conversation is complicated by the performance expectations of the boss–direct report relationship. At a minimum, the leader coach must clarify if and how the information will be used outside the coaching conversation, with the clear intention to maintain a nonjudgmental posture.

Principle 2: Ensure the Coachee's Ownership

The coaching experience is for and about the person being coached. Coachees are responsible for driving the process and directing their own learning. They must take ownership of the goals and the agenda, even when those were proposed by the organization or suggested by the feedback of others. The coach's role is to influence the agenda, not set it. When an internal coach has a clear agenda, such as performance expectations, a specific action needed, or a message that the organization needs the coach to deliver, the coach may need to explicitly shift to a manager role to avoid the potential of role confusion.

Principle 3: Facilitate and Collaborate

Sustainable coaching improvements are made through partnering, collaborating, reflecting, and inquiring, as opposed to providing solutions. Telling, giving opinions, or content advising are valuable tactics in creating change but are more the tools of a teacher than a coach. A key leverage point for external coaches is that their primary responsibility is the development of the coachee who owns the ultimate decision about the course of action. Internal coaches and leader coaches have the additional responsibility of meeting performance outcomes and must make conscious decisions about when to take a more directive approach.

Principle 4: Advocate Self-Awareness

A prerequisite for developing as a leader is to know one's strengths and development areas. By learning to better recognize their own behavior and understand the impact, coachees are in a better position to analyze and predict the outcomes

of their interactions and take steps to achieve the desired results. This principle does not require differential application by internal and external coaches; it is a universal lifelong learning strategy.

Principle 5: Promote Sustainable Learning from Experience

Reflecting on one's own experiences is a powerful method for learning and allows the learner to leverage personal strengths and address critical development needs. The key element of this principle is helping the coachee move from awareness to action in order to sustain learning. The process of reflection creates a developmental feedback loop to continually fuel the learning cycle.

Principle 6: Model What You Coach

Coaches must master and consistently exhibit emotional competencies such as self-awareness, self-management, social awareness, and social skills (Goleman, 1998) and must be able to comment on these attributes as they are playing out. In-the-moment feedback is among the most powerful coaching strategies and one of the most difficult to master. Being able to comment on what is happening in the moment and make meaningful connections provides an opportunity for the coachee to recognize the impact of his or her behavior in real time. This method can feel riskiest when the coach is describing the negative impact of a given behavior. External coaches may find it easier to provide in-the-moment feedback since they do not have multiple organizational roles to juggle.

COACHING IN A GLOBAL ENVIRONMENT

In addition to laying out a framework and basic principles of coaching, it is worthwhile to approach coaching with some global awareness. Studies of culture have typically described the U.S. culture as individualistic, egalitarian, performance driven, comfortable with change, and action oriented (Hoppe, 2004). With such an alignment between American culture and coaching fundamentals, it is not surprising that coaching has proliferated in the United States. However, the professional practice of coaching is spreading around the globe, and managers in multinational organizations find themselves coaching employees from diverse cultural backgrounds and will need to make cultural adaptations for the practice of leadership coaching.

Although CCL's coaching framework has North American origins, we have found that the basic components of the framework—relationships, assessment,

challenge, support, and results—are applicable in our work with leaders around the world. However, the manifestation or expression of the components often requires different forms in different cultures. To work effectively in a cross-cultural context, coaches must be aware of their own cultural assumptions and have the ability to adapt coaching practices to the cultural context. If coaches are unaware of cultural differences and do not attempt to adapt, they risk losing credibility, offending their hosts, and neutralizing the power of coaching. The components of coaching vary across cultures in a number of ways—for example:

- *Varying degrees of formality, closeness, and spontaneity expected in the relationship.* For example, U.S. and Latin American coaches have learned to maintain a more formal and interpersonally distant relationship when coaching Asian, European, or Scandinavian leaders. Inviting a coach to a sporting event or a family dinner may happen occasionally in the United States, but a German client remarked that such an expression is a "classically American display of false closeness." She went on to say, "I don't invite many people, and it may take me a long time to do so, but when I do, I mean it." At least one difference between good coaches and great ones is that great coaches understand the relational expectations of the coachee and meet those with their own genuine expressions of how they prefer to interact.
- *Differing levels of comfort with assessment methods that involve collecting and quantifying perceptions of the leader's behavior from a variety of people who work with the leader.* This approach to assessment is grounded in cultural values of egalitarianism (the views of others should be valued regardless of their level in the hierarchy) and quantification (human behavior and interactions can be usefully codified and quantified) (DeLay and Dalton, 2006). In cultures that do not share these values, coaches need to pay attention to the status of different providers of feedback to the coachee and rely more on interviews and observations to understand the coachee's performance and context.
- *Differences in the willingness to take on challenges that will stretch the individual beyond existing levels of mastery.* Taking risks, experimenting, and making mistakes while learning is generally understood with little resistance in the Western world. However, in cultures where uncertainty is to be avoided and mistakes are equated

with failure, coaches need to gauge the degree of challenge the individual can take on without being overwhelmed.

- *Differences in how support is expressed in a coaching relationship.* A person seeking leadership coaching in New York City emphatically demanded a coach who could "get in my face, hold my feet to the fire, and not sugar-coat anything." These idioms suggest how alarming such an approach to coaching might be in an Asian culture that values respect for authority, deference, and preservation of face. Cultural awareness helps the coach determine when to "get in my face" and when to help the leader "save face"—a distinction that can make or break a coaching relationship.

- *Whether results are seen through an individualistic or collectivistic lens.* Every culture values results, but what those results look like is culturally specific (DeLay and Dalton, 2006). Individualistic cultures, such as in the United States and United Kingdom, focus on individual results, although there is a trend toward linking individual results to the organization's performance. In collectivist cultures, results are measured not individually but by what benefits the group as a whole.

Coaches can use a number of strategies to become more cross-culturally competent: become well informed about the ways in which cultures around the world differ (see Hofstede, 2001; Schwartz, 1999), join culturally diverse communities of coaches to share insights and best practices, seek mentoring from coaches who have a great deal of international experience, and approach each cross-cultural coaching engagement as an opportunity to learn from the coachee about his or her cultural beliefs and practices.

USES AND STAGES OF COACHING IN ORGANIZATIONS

For the most part, leadership coaching takes place within an organizational context. How coaching is understood and practiced in that context influences the quality of outcomes of the actual coaching experience. For example, in an organization that makes little systematic use of coaching, a few leaders might occasionally seek the assistance of an external coach—perhaps when they are transitioning to a large-scope job and feel the need for extra advice and support, or because their boss encourages professional coaching as a way to address a development need.

Coaching in this instance may yield such positive outcomes for the individual as enhanced leadership capabilities and improved job performance—certainly outcomes that benefit the organization too. However, the impact is primarily on the individual and the specific aspect of the individual that was targeted for development. Alternatively, in an organization where continuous learning is valued and coaching is widely available from one's boss and coworkers, coaching experiences can serve more than individual development needs. Coaching thus becomes a way for creating shared values in the organization, disseminating tacit knowledge more broadly in the organization, and developing new leadership practices.

We have noted five prototypical approaches to coaching and arrange them in stages here from less to more extensive and systematic uses of coaching. Each stage represents a step toward broader integration and more comprehensive use of coaching for organizational impact:

- *Stage 1: Ad hoc coaching.* In this stage, some managers and executives make use of formal coaching, but it is an individual decision to engage a coach and typically the coach is an external professional. The human resource function may know about these coaching arrangements, but they do little to manage them, except perhaps to keep a list of recommended coaches who have worked with the organization. Formal coaching as a development method is an exception more than a key feature of the organization's leader development system and may be aimed at high-potential, transitioning, or struggling leaders.
- *Stage 2: Organized coaching.* At this stage, the organization has created standards and policies to govern the use of coaching in the organization. Coaching is seen primarily as a service provided by professional coaches who are external to the organization. Permission to use a coach may be required from the human resource function. The organization often invests considerable time and resources in vetting coaches and managing the use of coaching, including requiring regular reports from coaches and coachees on goals and outcomes of coaching.
- *Stage 3: Extended coaching.* At this stage, leadership coaching is implemented in a variety of ways. Internal staff are typically trained or certified to do some professional coaching. Coaching skills are seen as important for managers, and training programs for their development are available. Formal coaching is

part of the leader development system at certain levels in the organization or transition points in the leader's career. Programs for high potentials often include formal coaching and coaching skills training. There is an emphasis on the right methodology—external coaches, internal coaches, coaching skills training, or team coaching, for example—for the results desired.

- *Stage 4: Coaching culture.* Individuals at all levels of the organization are expected to engage in coaching behaviors. These expectations are part of a broader culture that places value on personal initiative and responsibility, innovation, and continuous learning. Beginning at the top and cascading throughout the organization, leaders model a coaching mind-set. Coaching moves beyond focusing on individual leaders and includes team and group coaching and coaching to bring about organizational change.

- *Stage 5: Coaching as a driver of business strategy.* At this final stage, coaching is recognized as a means of aligning individuals and groups in the implementation of business strategy. The coaching culture is not an end in itself; rather, it becomes a tool to facilitate other organizational change. Coaching is explicitly used as an accelerator of the organizational changes needed to adapt to emerging industrial and market trends.

Organizations move from one stage to the next as their coaching practices evolve. Each transition involves a distinct set of issues and requires an investment of organizational resources.

From Ad Hoc to Organized Use of Coaches

The first critical transition takes place when an organization goes from simply maintaining a list of external coaches used by its leaders to actively managing the use of those coaches. This transition is often triggered by senior HR staff who are feeling frustrated with the uncoordinated use of external coaches and having difficulty determining if the resources spent on coaching have produced adequate results. Inconsistent fees, unmeasured outcomes, uneven quality of coaches, and widely varying purposes to which coaching is put within the organization are among the problems that spur the HR function to bring greater accountability and consistency to the use of coaches.

We observed a global manufacturing organization as it went through this transition. Five years into a sweeping leader development initiative that included off-site courses and substantial coaching from multiple vendors, the organization began centralizing the support of all coaching engagements within one corporate function. They developed explicit statements about the purpose of coaching, standardized the processes for engaging a coach, implemented utilization reports, standardized fees, and required outcome studies. This transition met with resistance from coaches and coaching vendors who were unaccustomed to being asked to report to a central office and abide by other administrative guidelines. The furor settled in a relatively short period of time as coaches recognized the value to the organization of a coordinated coaching effort.

The move to a more professional and organized use of external coaches surfaces a number of issues including recruitment and selection standards, preparation of coaches for working with organizational leaders, confidentiality and information sharing, matching of coaches with leaders, and evaluation of results.

Recruitment and Selection Standards Successful use of a pool of external professional coaches starts with proper selection of the coaches. Selection should be based on the assessment of three broad domains: competence in self-management and interpersonal relationships, knowledge and experience in coaching skills and methods, and demonstrated expertise working with organizational dynamics (ethics, politics, communications, and influence, for example). Table 4.1 sets out a list of coaching competencies at introductory and advanced levels to guide coach selection, development, and continuing education.

Most major companies rely on a combination of methods for developing the pool of approved coaches, but the most common method is the creation of a list from coaches already being used successfully by leaders within the organization. This list is often expanded using the recommendations of existing coaches. Another method is to invite open applications from those who meet a set of criteria established by the organization. Applicants provide background information on their training and experience and are interviewed in formal or informal processes. Finally, some organizations rely on a consulting or training firm to provide coaches and may expect the coaching firm to manage some elements of the processes.

Each of these methods has benefits and limitations. The most common limitation is the absence of reliable and valid criteria for identifying effective coaches. Recommendation by existing coaches is currently a key factor in selection

Table 4.1
Coaching Competencies

Competency	Fundamental Level	Advanced Level
Interpersonal skills	**Exhibits understanding of the coachee's perspective and is nonjudgmental of his or her views and actions. Presents ideas and data in a straightforward manner, engages in active listening, and uses humor to reduce tension and establish rapport.**	**Demonstrates understanding of the coachee's emotional state and is able to challenge a coachee's views without being judgmental. Presents difficult data in a way that can be heard, discerns underlying messages and emotions, and uses humor to deliver or reinforce important insights.**
Presence and credibility	**Communicates effectively with the coachee and is listened to because content is meaningful and presentation is persuasive. Dresses and displays manners consistent with the coachee's culture and expectations.**	**Displays broad knowledge and experience and matches the coachee's intelligence and knowledge. Addresses difficult issues with credibility and commands the coachee's respect.**
Values and character	**Behaves in ways consistent with established ethical guidelines and policies. Exhibits tolerance and acceptance regarding gender, race, and cultural issues.**	**Makes the coachee aware of behaviors that might be perceived by others as inconsistent with stated values. Expands and deepens the coachee's understanding of issues of diversity.**
Flexibility and versatility	**Works effectively with a broad range of managers and executives.**	**Works effectively with all types of coachees across gender, cultures, races, level in the organization, personal styles, and other areas.**

(*continued*)

Table 4.1
(*continued*)

Competency	Fundamental Level	Advanced Level
Maturity and stability	Admits shortcomings and is open to feedback about coaching skills. Manages personal stress and does not allow it to interfere with the coaching relationship.	Actively seeks out feedback about coaching skills and assesses coaching conversations for developmental opportunities. Handles difficult situations, including extreme coachee reactions, and ambiguity well.
Interviewing and questioning skills	Asks questions that stimulate the coachee's thinking and development. Uses nonverbal behaviors that are sensitive to the coachee's culture.	Asks probing questions that stimulate the coachee to think in new and different ways and that challenge the coachee without being combative.
Business and content knowledge	Understands business concepts and language and is up-to-date on business issues. Demonstrates command of own area of expertise.	Understands complex business issues and is savvy about the intricacies of business issues in context. Applies theory in relevant and useful ways.
Organizational knowledge	Understands organizational structures, processes, and dynamics. Understands how these elements affect individuals.	Has a deep understanding of how to coach an individual based on the coachee's type of organization and current organizational dynamics.
Change management	Has a commonsense, practical understanding of the behavioral change process.	Applies a range of theories and practices related to learning and behavioral change.
Relationship management	Is well prepared for and manages coaching sessions effectively. Focuses on the coachee's needs and issues, not own agenda.	Actively engages the coachee in co-managing the coaching relationship. Maintains clarity about the coaching contract and anticipates possible role confusion of boundary issues.

but could inadvertently result in a homogeneous coaching pool that is poorly positioned to meet future diverse needs of the organization. Creating a pool of applicants who meet a minimum educational and experience standard may yield a wider range of coaches, but is still weighted heavily toward those who make a good initial impression rather than those who can ensure measurable results. Finally, unless the consulting or training firm provides close management and continuously culls poorly performing coaches, the mix of coaches from any given organization may be highly variable in their performance. The best practice is to ensure that decisions on coach selection and continuance are based on regular performance measures, with a combination of input by coachees and their key stakeholders from both qualitative and quantitative perspectives.

Preparation and Orientation Although global standards are still being debated, more associations and standard-setting organizations are converging on similar educational, professional, and supervised experience threshold for coach training. The International Coach Federation has invested considerable work in creating accreditation and credentialing programs for coaches (www.coachfederation.org). It has been joined by other regional coaches' associations. In the recent past, the European Mentoring and Coaching Council has also embarked on the accreditation of coach training. The European Foundation for Management Development and others are working to focus attention on standards for organizational and leadership coaching, as distinct from life or personal coaching.

The orientation of external professional coaches to the culture, goals, and processes for working with the organization is fundamental to the success of any coaching initiative. Interviews with those responsible for implementing coaching programs in major U.S. organizations suggest that the most important predictor of organizational satisfaction with coaches is the level of knowledge and experience they have of the host organization. Coaches who are not familiar with the business model, strategy, key players, and culture of the organization are seen to be significantly limited in their effectiveness. Organizations spend from a few hours to as many as three or four days educating coaches about the existing culture and business of the organization.

Confidentiality and Information Sharing As coaches become more deeply entrenched in an organization, they face increasing complexity in negotiating relationships with multiple stakeholders. Obligations to provide a safe learning

environment for the coachee can conflict with the boss or HR stakeholder's interest in knowing about the coaching goals and progress. Three months into an executive coaching engagement, the manager of a financial services marketing director asked for a private meeting with the coach. When asked why, the manager said he wanted to discuss the progress of the coaching and that he did not trust the coachee to be honest with him. This type of request is not uncommon and underscores that the rules for maintaining trust with the coachee while developing it with other organizational stakeholders must be made explicit throughout a coaching engagement.

When a coach works with multiple members of a team, division, or function, the coach must ensure that each stakeholder has a clear understanding of what information will be shared and what will not. A coach who is viewed as an information sieve or spy for top leaders will not last long or create much benefit. Some organizations request or require written reports during or at the conclusion of coaching engagements. These expectations need to be made clear at the onset of the project and refined throughout the life of the project.

Matching Coaches with Leaders Matching an executive with the right coach is a challenge because of intangible but important personal aspects of the coaching relationship. In some organizations, the executive is presented with a list of possible coaches, or the head of coaching selects a small number from whom the executive may choose. In others, coaches are assigned based on the judgment of the coaching staff. It is thought that coachees can benefit from an increased sense of autonomy and buy-in when they are given the opportunity to select their own coach, but success has also been demonstrated when the head of coaching selects the coach for the executive. Our experience is that the most effective method is to have a professional who knows the coachee recommend a particular coach but be prepared to offer an alternative if an initial meeting does not result in sufficient rapport.

Anecdotal evidence is growing that coachees who are given alternatives have increased doubt about their choice and may delay the start of coaching because they cannot decide among several coaches who are each fully qualified. If an executive assigned to leadership coaching cannot find an acceptable coach, it may indicate resistance to the activity rather than to the particular proposed coaches.

Evaluation of Results Evaluating the impact of coaching helps determine how to best use coaching to get a return on investment. Evaluation of coaching has largely relied on measures of satisfaction by the coachee, yet these ratings when

used alone are subject to contamination by a variety of factors. The factors may include the likability of the coach and the coachee's desire to show the worthiness of the coaching investment. The subjective evaluation of the coaching experience as the sole measure is not sufficient for leadership coaching because the benefits to the organization are as important as the benefit to the individual. Coaching evaluation is most effective when it uses a variety of methods, both quantitative and qualitative, from the coachee as well as the stakeholders (see Chapter Ten). Effective coaching evaluation (Anderson and Anderson, 2005)

- Links coaching to the achievement of business goals
- Sets objectives that include the application of coaching to the workplace
- Develops evaluation objectives that directly tie to coaching objectives
- Decides how to demonstrate the contribution that coaching makes on performance apart from other potential influencing factors
- Links coaching to areas of performance improvement

From External Coaching to Multiple Coaching Methods

Another transition occurs when organizations go from understanding coaching primarily as an external service used for the development of executives and high-potential employees to seeing coaching as a fundamental leader development method that can be used throughout the organization. This transition is typically characterized by an increased emphasis on coaching skills as a leadership competency and the use of multiple forms of coaching in the organization's leader development system. For example, a major U.S. consumer electronics firm began including coaching with all of its leader development programs. The coaching took several forms: external and internal professional coaches for individual coaching, team coaches to support action learning teams, and peer coaching among the program participants. During this transition, organizations also often add an emphasis on developing others to their leadership competency model and offer coaching skills training programs for managers.

The primary issue during this transition is quality. As more leader development interventions begin to make use of coaches, organizations must take steps to ensure that they have access to enough high-quality coaches to staff all coaching initiatives. Furthermore, as managers are expected to function as coaches themselves, in addition to their other responsibilities, the organization must consider realistic performance expectations and support mechanisms for these managers.

Quality Amid Quantity Building internal professional coaching capability into HR functions tends to increase as organizations begin to incorporate more coaching into their leader development systems (Hunt and Weintraub, 2007). Internal coaches are more familiar than are external coaches with the goals, strategies, and culture of the organization. They are likely less expensive and often can be colocated with the coachee. However, there are trade-offs. Internal coaches do not bring the more objective external perspective that external coaches have. They are more subject to organizational politics, may be handicapped by having multiple roles, and may be perceived as less credible than external coaches. Many organizations make use of both internal and external coaches. For example, external coaches might be used at the senior-most levels of the organization when issues of confidentiality and the ability to challenge the coachee are essential, whereas internal coaches who know organizational processes and norms are used to coach peer learning groups.

Various strategies can be employed to maintain quality as the number and variety of coaches grows: using a common coaching framework, providing consistent training, providing opportunities for coaches to continue to learn from one another, and monitoring feedback from coachees about the coaching experience. The more that the various leader development processes and activities in the organization are integrated into a leader development system (see Chapter One), the more likely it is that coaching will be systematically managed and that continuous learning among the community of coaches will happen.

Managers as Coaches Managers are an obvious coaching resource in organizations (Hunt and Weintraub, 2007). They are routinely involved with their direct reports and are responsible for their team's or unit's performance. However, expecting managers to be effective coaches presents a number of difficulties. First, the role expectations of a coach and a manager are often quite different (Waldroop and Butler, 1996). Managers often achieve success by being competitive, quick to judge and act, focused on near-term results, and eager to point out problems. Effective coaching, however, is collaborative, encourages reflection before action, is focused on the longer term, and seeks to understand rather than critique. Being an effective manager coach not only requires coaching skills but the personal maturity to balance sometimes conflicting roles. Managers can learn coaching skills through training programs and practice, but developing managers as coaches also requires an investment in their personal growth, that is,

in development aimed at enhancing their ability to develop trusting relationships, be authentic and vulnerable, and manage paradox (see Chapter Seven).

Managers also have to be motivated to coach. Most managers say they like to coach and that they believe that coaching contributes to their success, but they admit they do not spend enough time coaching and see coaching as an addition to their daily work (Blessing White, 2008). Organizations can shift this mind-set by setting expectations and holding managers accountable for coaching, recognizing and rewarding effective leader coaches, and regularly communicating the connection between coaching employees and meeting the business needs of the organization.

Toward a Coaching Culture

Further development in an organization's use of coaching involves movement toward a coaching culture—a culture in which coaching up, across, and down is widespread and an expected part of relationships in the organization. Organizations pursue such a culture for multiple purposes: to attract and retain high-commitment employees, increase collaboration and teamwork in the organization, create a strong sense of organizational community, and foster continuous learning and organizational adaptation. The increased prevalence of coaching in day-to-day work relationships signals a move toward a high-commitment, collaborative culture and positions the organization to be more agile in responding to rapidly changing market conditions.

Once coaching starts to become embedded in a culture as the "way we do things around here," it can become a tool in efforts to change the organization. For example, an established philanthropic organization recently embarked on a journey to work more collaboratively across internal groups to increase their ability to respond to the increasingly complex needs of their constituents. Managers and professionals who had once worked fairly independently with full responsibility for work in their field of expertise were now expected to work together, share resources, and develop solutions that integrated multiple areas of expertise. Power and authority would be more distributed in the organization rather than maintained in silos. Because of an understanding that these changes would require new mind-sets, behaviors, and capabilities throughout the organization—and that the changes would likely be experienced as threatening and upsetting to some—a comprehensive initiative was launched. Starting at the top of the organization, the initiative involved individual and team coaching, leadership

development experiences for senior leaders, and an expectation that these leaders would cascade their coaching throughout the layers of the organization. Within a year, this intensive, strategic, and coordinated coaching initiative demonstrated significant progress toward creating the new way of working. Silos gave way to cross-functional collaboration, innovation flourished in the atmosphere of increased communication, and greater impact on society became tangible. This rapid shift was possible due to the commitment of top leaders and the repeated opportunities for alignment to be reinforced in individual and team coaching, both formal and informal.

For all the potential benefits, few organizations have yet made the transition to a coaching culture (Anderson, Frankovelgia, and Hernez-Broome, 2009; Blessing White, 2008). Just like any other effort to change some aspect of an organization's culture, creating a coaching culture requires changes in shared beliefs and practices throughout the organization and changes in organizational systems and processes. A survey of business leaders across a broad spectrum of industries identified five key strategies to promote a coaching culture (Anderson et al., 2009):

1. *Seed the organization with leaders and managers who can act as role models for effective coaching.* Developing strategies to change an organization's culture soon leads to confronting the issue of scale. Specifically, how can a sufficient number of people in the organization gain the learning experiences they need to initiate, develop, and sustain a coaching culture? The key to addressing the issue of scale is to select the right people, invest in their development, and position them as role models for the new coaching culture. In turn, as these people coach others, those who are coached place special emphasis on using and improving their own coaching capabilities. Putting resources into training leaders and managers to be coaches rather than having leaders and managers be coached is an important shift for supporting the culture change.

2. *Link coaching to the needs of the business.* Demonstrating how coaching supports business goals and strategies highlights the benefits of widespread coaching beyond individual development. For example, an organization promoted managerial and peer coaching as an ideal method for reaching its goal of having competent frontline employees who could quickly and effectively

make decisions when working directly with customers. Coaching was part of the strategy for becoming a more responsive, customer-friendly organization.

3. *Coach leadership teams.* In a coaching culture, coaching is a strategy not only for individual development but also for team development. In the survey, twice as many leaders reported wanting team coaching than were receiving it. With a coach in a team context, leaders can learn to give each other timely feedback, learn how to explore each other's perspectives and assumptions, and learn how to use each other's strengths—all skills that they can put to use in ongoing coaching with others.

4. *Recognize and reward coaching behaviors.* Once behavior change begins, reinforcement through formal and informal channels increases its sustainability. When leaders highlight and note coaching behavior successes, a trend develops that positions these behaviors as important to the organization. As top-level leaders develop the habit of commenting on their own and others' coaching behaviors, the cascading effects magnify and multiply.

5. *Integrate coaching with other people management processes.* Coaching processes and behaviors can be integrated into a whole host of management processes—from onboarding processes for new employees to training programs for learning new technology systems to special assignments for high potentials. Designing these processes so that they incorporate elements of coaching institutionalizes coaching as "the way we do things around here."

CONCLUSION

In the past decade, coaching has arguably been the fastest-growing method of leader development. Such growth has its upsides. It brings to the forefront the need for professional standards, training and credentialing for coaches, and organizational management of coaching processes. More leaders are willing to seek out coaching as it becomes a regular component of development processes and systems. And more managers learn how to engage in coaching relationships with their employees.

The downside of such rapid growth is a potential dilution of the power of coaching because its foundational elements may not be strongly maintained. These elements include a trusting relationship; the balancing of assessment, challenge, and support; and the pursuit of measurable goals and objectives. To

reap the benefits of the method, organizations must be vigilant in developing their coaching capacity. At different stages, developing capacity entails different activities—getting more organized in the use of external coaches, expanding the forms and modes of coaching, embedding coaching into the culture of the organization, and incorporating coaching outcomes into the business. At each step of the way, coaching becomes a more strategic and value-added activity for individuals and organizations.

chapter
FIVE

Leader Development and Social Identity

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A fundamental development need for any adult, and one especially important for anyone in a leadership role, is to integrate the various aspects of self into a coherent whole that provides the basis of one's values, thoughts, and behavior—an integrated identity (Day, Harrison, and Halpin, 2009; Lord and Hall, 2005). Yet it is still easy for organizations to forget that their employees are more than just their professional identities, assume that their employees could leave their nonprofessional self at home, and dismiss the role of nonprofessional identities for effectively completing organizational tasks. Employees themselves often fail to acknowledge that their identities at the workplace are more than their work roles and responsibilities.

In today's networked multicultural world, neither organizations nor individuals can afford to forget or dismiss the importance of nonprofessional identities for building both individual and organizational capacities. An individual's social identity—which is a big part of nonprofessional identity and has to do with group memberships such as nationality, race, gender, language, religion, generation,

sexual orientation, and the like—is particularly important for leader development, and is the focus of this chapter. Tajfel and Turner's (1979, 1986) theory of social identity and the associated self-categorization theory (Turner, 1982, 1985, 2004) suggest that these memberships are fundamental to the self, providing both a sense of belonging and a sense of distinctiveness. Also, social identity influences one's perception of others and one's behavior. Perceptions and behavioral norms are embedded in social systems and intimately tied to power dynamics, with some groups in a society having greater access to resources, status, and privileges (the dominant groups) than others (the nondominant groups). Hence, leader development is not something that unfolds in the same way for everyone, everywhere.

Everyone has a social identity, and social identity has an impact on the development of all leaders, including those from historically powerful groups as well as those from historically disenfranchised groups. Forging a leader identity is a complex process involving a deep understanding of self. Effectiveness in today's interwoven global society means that leaders need to understand the impact of their own identity on others, as well as to empower others to develop an authentic sense of who they are. Through shaping opportunities and barriers for development, social identity can either unlock or lock individual potential. It can unlock leadership potential if leader development is integrated with it, and it can lock leadership potential if it is isolated from development and allowed to subtly impede development opportunities. Understanding this influence is important because individuals' socially constructed identity both influences an organization's potential for developing the best and the brightest talent and the individual's ability to function as a leader. It is critical for developers of leaders to think about leader development from a social identity perspective. To be effective, especially in the leader role, it is critical that employees bring their authentic self to work and feel accepted for doing so, see themselves as potential leaders (capable of enacting leadership), and be given the opportunities to develop as leaders.

Following a discussion of social identity as it relates to leadership, the chapter looks at the challenges of integrating social identity and leader identity and the cost of failing to do so to organizations. It then focuses on the meaning of social identity for the use of assessment, challenge, and support in leader development, followed by a discussion of the implications for organizations.

LEADERSHIP AND SOCIAL IDENTITY

Traditionally leadership has been thought of in terms of behaviors leaders employ to direct followers, make decisions, and generate positive outcomes. The focus was on the leader, and his or her skills, knowledge, and abilities. People were regarded as separate agents acting individually with independent goals and perspectives in the context of a rule-oriented bureaucracy (Weber, 1968). Today, a more relational and interdependent approach to leadership is becoming more prevalent (see Chapter Fourteen). As noted in the Introduction to this handbook, the focus has expanded from the individual leader to the interaction of people in different roles and from different communities. Furthermore, we increasingly conceive of leadership as a process of both individually and collectively building and maintaining direction, alignment, and commitment. This means that in addition to the traditional importance placed on individual characteristics, the development of leaders has to take social processes into account. Many of these processes are shaped by aspects of social identity, making it a critical area of focus. Social identity is responsible for lots of behaviors in organizations that are outside official processes and systems, and leader development must take into account the fact that behavior is driven not only by individual expectations but also by group-level dynamics.

One implication of the social identity approach for leader development has to do with developing a sense of self as a leader. Lord and Hall (2005) argue that the development of a leader requires the integration of personal, social, and professional identities. Leaders must understand themselves, how they react to others and how others react to them, and how to adapt to situations. From an identity point of view, leader development is a maturation process merging self and social knowledge with identification as a leader. With increasing maturity, one's repertoire of possible perspectives and behaviors grows. Experience allows people to respond in a more practiced and adequate way to difficult situations. With experience in the leader role, identity as a leader grows more central to the self-concept.

Lord and Hall (2005) describe this development as proceeding through three stages: novice, intermediate, and expert leader. Novice leaders want to be seen as leaders and focus on differentiating themselves from others by demonstrating uniqueness. They are not sophisticated in their thinking about the collective

and consider their actions independent of others. Intermediate leaders develop greater context-specific knowledge, and their orientation shifts from primarily the self to include others. As leaders gain experience, a deeper leadership identity emerges. At the expert level, the leader understands not only self in the context of the collective but how others relate to the collective and can regulate his or her own behavior so as to adapt to situations and people. Expert leaders understand themselves well enough to work effectively in a variety of situations and with people of different outlooks and perspectives. They are able to shape the identity of the organization to be inclusive of all and use this shared identity to sustain the commitment of a group to move in a coordinated direction.

A second implication of identity processes has to do with who is considered a leader by the collective. Who is recognized as a potential leader is typically influenced by the social identity characteristics of the dominant group in a society. Groups more readily accept someone as a leader who is prototypical, or representative of the group (Hogg, 2001; Hogg and van Knippenberg, 2003). In turn, leader behaviors exhibited by prototypical group members are more readily recognized as leadership and are received more positively. These processes of leader recognition also work the other way around: those in top positions in hierarchies are thought to be exemplars of the organization—literally, representing the organization. The more representative the person in a top leadership role is, the more likely others will identify with the collective goal this leader stands for, literally making a shared and common identity visible. In turn, the ability of individuals from nondominant groups to develop a leader identity will be influenced by how readily the collective accepts people with different social identities in a leader role. In sum, people endorse a leader who is the epitome of the group, so it is often harder for an individual who is not considered representative of the group to be seen or to see himself or herself as a leader.

Integrating social and leader identities is easier if the two identities share many characteristics. For people whose social identity already comprises aspects of leading others, being a role model and being respected, the integration with a leader identity can be relatively smooth. For example, many members of high-status classes, such as privileged classes in the United Kingdom or the Kshatriya castes in India, see it as part of their social identity to be in leadership positions and be working not only for their own profit but for the benefit of others. Such a social identity can easily be integrated with one's professional identity as a leader in business, politics, or public life. Moreover, developing an integrated identity may

be easier for someone who is of the dominant group and is seen as the prototypical leader on the basis of surface characteristics alone. The process is much tougher for someone who does not match the dominant group's prototype. For example, a 2008 U.S. Equal Employment Opportunity Commission report acknowledged that one of the reasons for the low number of Asian American leaders at the top of U.S. corporations is because they lack "executive presence." This is also true for the low number of women leaders in the top U.S. corporations and low number of non-U.S. managers in U.S. global companies outside the United States. These gaps are not skill based but rather gaps from the prototype. Form is emphasized more than substance in top U.S. corporations (Tripp, 2002).

A third implication of identity processes is that shifting organizational dynamics in today's hypercompetitive world create additional identity work for leaders. Reliance on a global workforce often requires leaders to be entrepreneurs of identity, able to create a shared understanding among a collection of many different social identity groups (Haslam, Postmes, and Ellemers, 2003). A well-understood and shared organizational identity is essential to motivating the beliefs and practices that result in direction, alignment, and commitment. Leaders at many levels of the organizational hierarchy have to work with those from social identity groups different from their own and need to understand the role of identity in leadership.

President Barack Obama is an example of someone who at first glance might not be considered a prototypical leader of the United States. African American and raised by a single mother, he does not embody the characteristics of the majority of the voting public or fit the profile of his predecessors—all Caucasian and many from influential, wealthy families. However, he shaped and forged an identity that became prototypical of the United States by emphasizing that he had something in common with a variety of social groups. His campaign highlighted that he was African American, had a white mother, and was raised by white grandparents. Although his mother was his sole source of support, he did what many of the elite in the United States do: attend Ivy League schools. He had people in cities identify with him through his community organizing work in Chicago, and people in rural areas identified with the values from Kansas that his grandparents instilled. Obama is an entrepreneur of his own identity, and in his campaign, he appealed to Americans to share in a common view of the future. He is highly effective at using his various social identities to appeal to others and to shape a shared identity for all Americans.

Social identity theory and self-categorization approaches suggest that a key mechanism for understanding group behavior has to do with how people process information about others. A fourth implication of social identity has to do with the impact of these information processes on human resource decisions in organizations. Social identity theory argues that people organize information by categorizing others into groups that have shared properties, such as gender, generation, nationality, language, sexual orientation, and religion. They do so in order to simplify a complex social environment. But based on these shared properties, people often make inaccurate inferences about other characteristics. For example, French-speaking Belgians (Walloons) sometimes view their Dutch-speaking coworkers (Flemish) as aggressive, performance oriented, and humorless, while the Flemish criticize the Walloons as complacent, indecisive, and disdainful (Mason, 1995). Aspects of personality are attributed to differences in region and ancestry, posing challenges for collaboration in the workplace.

Categorizing people into groups also tends to cause us to compare and evaluate these groups. Generally people identify with the groups to which they belong and prefer the characteristics of their own group. The group one belongs to (in-group) is valued more highly than other groups (out-groups). This favorable in-group evaluation in turn fosters favorable self-evaluation, raising self-confidence and self-esteem. In order to strengthen the identification with their in-group even further, people minimize differences between themselves and those in the group they identify with and maximize differences between their group and other groups. In sum, categorization and evaluation processes result in we/they distinctions. People see those who are not members of their in-group as "they," different and often unworthy of appreciation. In other words, people like those who are like them and dislike those who are different. Although this tendency to compare and evaluate binds group members together and provides a basis for a positive self-view, it also often blinds them to the positive characteristics of other social identity groups (Ruderman and Munusamy, 2007). These "bind-and-blind" processes are simple and natural, but the implications for leader development are complex because they create identity-related obstacles for members of nondominant groups.

IDENTITY-RELATED OBSTACLES TO LEADER DEVELOPMENT

Social identity processes introduce complexities into the process of leader development. At a basic level, social identity theory suggests that a person's development rests significantly on creating an identity that allows self-understanding in the

context of a collective and an ability to modulate oneself in different settings. It also suggests that social identity can be used as a powerful resource for leader development.

But social identity dynamics also create challenges. Some of these relate to the integration of social and leader identity within individuals, and others are based in the environment, such as prejudices and stereotyping, differential access to opportunities, and organizational culture. These factors can be serious obstacles because they can block people from gaining access to informal leader development opportunities. Organizations that aim to make the best use of all their talent need to be alert to these barriers. In this section, we discuss these three environmental challenges.

Prejudice, Discrimination, and Stereotyping

Stereotyping refers to the cognitive processes that confer typical group characteristics onto its individual members. In contrast, *prejudice* and *discrimination* refer to the negative evaluation of members of groups other than one's own. The implications of all three are especially harmful for members of a society's traditionally nondominant groups.

Volumes have been written on the many ways prejudice and discrimination have blocked opportunities in work organizations, educational institutions, and governments. Discrimination of nondominant groups based on superficial characteristics, such as age, gender, disability, religion, caste, or language, has traditionally been used by dominant groups to maintain their preferential status in society and the workplace. We/they dynamics get in the way of decision makers who are considering the leadership potential of individuals who are not from their own in-group. Individuals with powerful roles in society often promote people from their own in-group into positions of leadership and authority, mainly for two reasons: it helps them maintain their own preferred status in society, and they commit the fallacy of recognizing traits that they share with other in-group members as signifying leadership potential.

One of the best-documented examples of this phenomenon in the workplace has to do with gender discrimination. The Center for Creative Leadership's (CCL) research has consistently identified prejudice as one of the most difficult barriers for managerial advancement of women (Morrison, White, and Van Velsor, 1992), using the metaphor of the glass ceiling. Ruderman and Ohlott (2002) documented the subtle and not-so-subtle challenges women face as they work to be successful.

Recently others (Eagly and Carli, 2007) have introduced into the literature the metaphor of a labyrinth to describe the circuitous barriers women face.

Discrimination against women flows from pervasive gender stereotypes in society. Discrimination and prejudice abound, mostly because of a mismatch between what is stereotypically considered to be male or female and what is typically perceived as good leadership characteristics and behavior. Many studies have shown that the attributes and behaviors associated with good leaders—initiating, decisive, visionary—are more in line with what is considered typically male—agentic, decisive, ambitious—rather than typically female—caring, harmony oriented, nurturing.

These findings are summarized in the slogan, "Think manager—Think male" (Schein, 1975). This implies that men, on average, are more readily and more easily perceived as good leaders, or as possessing leadership potential, than women. Evidence for this disparity has been around for more than thirty years, and despite the obvious development toward gender equality around the Western world, these differences persist (Booysen and Nkomo, 2006; Schein, 2001) and are a barrier toward women's advancement into senior management in most parts of the world.

Stereotypes about gender and leadership can also put women who made it into management in a rather difficult position. In their everyday behavior, women leaders need to live up to the expectations of their bosses, peers, and subordinates both as leaders and as women. Living up to expectations in terms of leadership sometimes contradicts what might be considered "good womanly behavior." This double bind is expressed in public and covert criticisms of overly assertive women leaders. Margaret Thatcher, as a prime example of a decisive and agentic leader, attracted many critiques for being considered unwomanly.

Differential Opportunities

An outcome of discrimination, prejudice, and stereotyping is that people from different social identity groups experience differential access to key opportunities for development. As CCL research has repeatedly shown, formal development opportunities, such as training, are responsible for only 10 percent of the actual learning in leadership development (see Chapter Two). Ninety percent of the learning for leadership development is achieved in informal settings, mainly in everyday job activities such as developmental assignments and challenging tasks and in interpersonal interactions at work, such as networks and mentoring relationships.

CCL has conducted numerous studies documenting that challenging jobs promote growth for all leaders, regardless of their social identity (Douglas, 2003; McCall, Lombardo, and Morrison, 1988; Van Velsor and Hughes-James, 1990; Wilson, 2008; Yip and Wilson, 2008). There are, however, some noticeable differences in how challenges are distributed according to social identity group, with nondominant groups receiving fewer opportunities for development and less challenging tasks. For example, men learned much more from assignments than women did (Van Velsor and Hughes-James, 1990), and compared to men at the same level of management, women also experienced their jobs as less critical and less visible to the organization (Ohlott, Ruderman, and McCauley, 1994). This perception is reflected in gender-based job segregation and segregation across functions in organizations in many Western countries, such that functions with direct operational responsibility are still mainly led by men, while women leaders are found in functions with indirect responsibility for revenue, such as human resources, finance, and law. Similarly, African American managers in the United States experience more hardships and fewer challenging tasks than white managers do (Douglas, 2003).

These findings imply that social identity does indeed have an impact on the availability of opportunities to experience challenging assignments. This creates a catch-22 for members of nondominant groups: they may be told that they need developmental assignments to advance in an organization but may not actually get the opportunity to take those assignments.

Organizations may want to take special care to see that social identity–related perceptions do not unduly influence the process of awarding developmental assignments or other valuable experiences. Chapter Two points out that learning occurs when leaders are in a situation that stretches what they are comfortable with, and takes them into what they do not know. These valuable situations must be distributed to everyone with talent. Norway is trying to institutionalize this practice by demanding by law that 40 percent of all board seats be filled by women. This means that organizations are being given a strong incentive to provide the type of assignment-related developmental experiences broadly to women in Norwegian society.

Organizational Culture

Organizational cultures are shaped mainly by dominant groups and as such reinforce values of groups in power. As the anthropologist Edward Hall argued

in his book *The Silent Language* (1959), culture comes in three forms: explicit, implicit, and technical. Although he referred to societal cultures, his argument has implications for organizational culture in the context of social identity. Often the dominant groups have wider influence in shaping the silent languages of an organization in all forms: explicit communications and policies, implicit communication (such as the grapevine and informal networks), and technical aspects such as procedures and requirements.

For example, Livers and Caver (2003) explain how in the United States, the white culture often permeates an organization, making it a challenge for African Americans to acknowledge their racial identity at work. As another example, women working in organizations that were designed by males to accommodate traditional male bread-winning roles characteristic of the second half of the twentieth century often struggle with the lack of work-family integration possible in these organizational settings (Ruderman and Ohlott, 2002; Rapoport, Bailyn, Fletcher, and Pruitt, 2002). The culture of the dominant group often becomes institutionalized, replicating societal imbalances in the organization. White American males, however, are experiencing this phenomenon in greater numbers as globalization has brought them in contact with cultures that question America's actions in global society.

In sum, people who do not fit the identity of the dominant group often leave or are ejected from the organization, as suggested by the attraction-selection-attrition theory of staffing (Schneider, 1987; Schneider, Goldstein, and Smith, 1995). This leads to greater homogeneity of the workforce based on the characteristics of the dominant group. Together, prejudice, differential opportunities, and the organizational culture introduce complicating factors into leader development for members of nondominant groups. Prejudice keeps leaders with atypical backgrounds from getting needed development opportunities, and culture blocks them from being part of informal networks and behind-the-scenes relationships.

ORGANIZATIONAL COSTS OF OVERLOOKING IDENTITY

Organizations should have an interest in integrating social identity in leader development because it allows them to make the best use of their workforce. Identity is arguably the most important aspect of leader and career development (Hall, 2004). It can accelerate the leader development process and offer a more profound basis for the development of leaders than the mere focus on a set of

leadership tools or skills (Day and Harrison, 2007; Day, Harrison, and Halpin, 2009; Pearce, 2007). Not addressing the challenges of integrating leader identity with social identity has negative consequences for both individual leaders and organizational leadership capacity. We outline four major consequences that can occur if leader development is divorced from social identity: loss of human capital, loss of identity capital, loss of diversity capital, and loss of social capital.

Loss of Human Capital

As noted above, social identity dynamics influence the availability and quality of many career shaping experiences. They also influence how employees perceive themselves and their developmental experiences; the same assignment can be framed as a career facilitator or barrier (Lent, Brown, and Hackett, 1994, 1996). Disregarding social identity in leader development and not ensuring that leadership potential is recognized and developed in all employees means that organizations lose out on developing some of their most promising leaders. Employees of nondominant groups might not find formal development opportunities accessible, and those who perceive they have no opportunities for development will be likely to leave the organization in search of better opportunities, with competitors or as an entrepreneur. In these times of hypercompetition where headhunting for the best talent is unavoidable, companies worldwide will likely feel the negative impact that an ignorance of the dynamics of social identity can have on their local and global workforce. For example, Catalyst, an organization focused on women, has documented that organizations with fewer women in senior management and board roles perform more poorly financially than those with greater numbers (Catalyst, 2007). Furthermore, in today's knowledge economy, organizations cannot afford to overlook the potential of every segment of the population.

Loss of Identity Capital

Leaders who understand their social identity and can integrate it with their leadership role acquire the capabilities for effective leadership across situations and settings. Using one's social identity consciously for leading others can create a basis of coherence and a feeling of being a collective, facilitating a leader's task. Understanding one's unique strengths creates the foundation for authentic leadership, which will help leaders gain recognition even from colleagues who are not in their in-group. It can also provide guidance in challenging situations. Thus, social identity provides a personal capital that leaders can draw from—but only

if they are mindful about it and are given the chance to use it. If organizations make no active effort to encourage the utilization of social identity for leadership, they diminish the potential effectiveness of their leaders.

Loss of Diversity Capital

Social identity serves as a frame of reference in terms of attitudes, values, and norms for individuals. The more freely and openly individual employees can express social identity at work, the more likely the organization can profit from the variety of attitudes, values, and norms. Social diversity provides many potential gains for organizations: the capability to reach out to diverse customer groups and provide targeted customer service, a higher chance for succeeding in new markets, more creativity and sources for innovation, better product development, and less likelihood for groupthink and one-sided decision making (Hodgetts, Luthans, and Doh, 2006). Multinational firms, in particular, need to incorporate cultural diversity capital on all levels, from senior executive to shop-floor workers, to succeed on a global scale (Adler, 1991). A successful case of diversity management is Sodexo. Originally a French company, it is now a world leader in food and facilities management services. Streamlining diversity as a strategic focus in all its HR activities, such as training and employee engagement, and the creation of a diversity scorecard have helped the company to attract and retain a workforce that is tied in local communities around the world and has the flexibility to withstand the market changes in its fast-moving markets.

Loss of Social Capital

Finally, an important aspect of social identity is social network. People from different social identity groups have different social networks and can bring these networks to the organization, thus providing social capital to the organization. The social networks of senior managers can be used effectively for organizational advantages, for example, by establishing trust-based contracts with suppliers, opening up new business opportunities, or facilitating access to information of strategic importance. However, this can happen only if people feel that their social identity is recognized in the organization. Organizations that do not encourage social identity–based leader development are likely to lose out on the advantages that the diverse social capital of leaders could bring (see also Chapter Thirteen).

INCORPORATING SOCIAL IDENTITY IN LEADER DEVELOPMENT

In the context of social identity, leader development is a complex undertaking. Leadership is context sensitive, reflecting emerging social processes (Hogg, 2001; Lord, Brown, Harvey, and Hall, 2001). It is a relational process occurring in the interaction among people in order to produce direction, alignment, and commitment (see the Introduction to this handbook for details). To foster this view of leadership, leaders must be developed in such a way that self-concepts of leadership are expanded to include social identity, allow authenticity, and take into account how social identity influences paths to and preparation for leadership positions. Social identity shapes the contours of leadership challenges, beliefs, feelings, attitudes, and behaviors.

As outlined in the Introduction to this book, assessment, challenge, and support (ACS) are key principles in leader development and are critical to consider when thinking of development in the context of integrating leader and social identities. Using a social identity lens provides a different perspective on ACS. Both the content of assessment, challenge, and support and the approaches to implement these principles can benefit from taking social identity into account. We look at each principle separately and then turn to how these practices can be tied together in formal feedback-intensive development programs and how organizations can systematically incorporate identity-based development in approaches to leadership development.

Whenever ACS is discussed as a principle of development, it is important to realize that the elements must be balanced. Too much assessment and challenge without the necessary support can be detrimental, as can too little assessment and challenge. Leaders need to account for some of the issues of differential access to opportunities for development and differential acceptance of such opportunities when creating an intentional approach to leader development.

Assessment

A social identity perspective on assessment has implications for both the content of assessment and the assessment implementation process.

Content of Assessment In terms of the content, or what is assessed, an identity-based leadership development approach suggests broadening the

competencies typically assessed for leader development purposes. For example, self-awareness competencies may be expanded to include awareness of social identity. All potential leaders belong to a myriad of social groups. Appreciating and understanding the impact of these memberships on perceptions of the self is important. After all, social identity dynamics shape expectations of life, values, needs, and preferences. This is particularly significant for members of dominant groups, who may not think about social identity on a regular basis. It is often a surprise to members of dominant groups that they are seen in stereotypical ways by others and that these stereotypes may not be positively valued. Leaders must understand the impact of this social identity on how others relate to them.

Other competencies that should be assessed are related to working across social identity groups. These will likely develop and become more sophisticated as leaders progress from novices to experts. These competencies include cultural intelligence (Earley and Ang, 2003), intercultural sensitivity (Bhawuk, 1989; Bhawuk and Brislin, 1992), empathy, open-mindedness, and the ability to succeed in diverse environments (Tung, 1987).

Beyond social identity awareness and a general ability to relate to and establish relationships with those different from the self, a social identity lens suggests that what is important to assess may vary for different identity groups. For example, the word *leadership* itself has very different meanings to different groups (Pittaway, Rivera, and Murphy, 2005; see Chapter Six). People use different representations of leadership, called *implicit theories of leadership* (Lord and Hall, 2005; Lord and Maher, 1991), to judge others. These implicit theories are differentially endorsed by different cultures (Chhokar, Brodbeck, and House, 2007; Dorfman, Hanges, and Brodbeck, 2004) and even by different work groups in the same culture. For example, managerial members in Korea endorsed leadership values of having higher flexibility and capacity for change management, vision formation, and implementation capacity more than union members did (Cho, 2009).

A solid assessment contains content appropriate for and relevant to the population and reflects the priorities placed on different leadership values. Basing it on the models of leadership endorsed by the company (such as company-based leadership competencies) can be one way to ensure that all those asked to assess a leader have at least a somewhat shared idea of what good leadership looks like. Another way is to use assessment tools that are developed to make leadership prototypes explicit for each rater and then assess how people perceive the real leader compared to the leadership ideals. Such a procedure of assessment can be

applied across social identity groups as it is entirely nonnormative: the criterion for leadership effectiveness is the match between ideal and real leader behavior rather than the enactment of a predefined set of competencies or skills. What is good leadership is in the eye of the beholder (Javidan, Dorfman, Sully de Luque, and House, 2006).

The Assessment Process In addition to suggesting new content, a social identity lens on leader development introduces concerns about the assessment process. For formal instrument-based assessments, a social identity approach raises questions about validity and perceptions about bias. For assessment information to be seen as credible and useful, the constructs measured need comparative validity; in other words, they need to have the same meanings for managers and raters of different identity groups. Yet most instruments have been validated mainly on samples of dominant groups simply because leaders tend to be representative of dominant groups within their societies. It is vital to understand what may be the different relationships between instrument scores and the effectiveness criterion for various social identity groups (Fleenor, Taylor, and Chappelow, 2008; Van Velsor, Leslie, and Fleenor, 1997).

A social identity approach to leader development also introduces the importance of asking questions about possible biases in formal assessment ratings. Such questions arise in cases where raters for 360-degree assessments belong to a different identity group from the manager being assessed. For example, women might ask if their ratings provided by men are biased. This issue is also important when rater and ratee come from different countries. It is not at all unusual for a participant to say that raters from a specific culture are especially tough. In fact, measurement equivalence studies have found that French bosses are tougher raters than American bosses (Raju, Leslie, McDonald-Mann, and Craig, 1999). There are good reasons for these questions about rater-ratee dynamics. The social perceptions of a leader are indeed influenced by his or her social identity (Brown, Lord, and Hanges, 2000), and leadership effectiveness is influenced by the extent to which leaders' characteristics match followers' implicit expectations about effective leadership (Lord and Hall, 2003; Lord and Maher, 1991).

Whenever there is a question of the validity or utility of how leaders are assessed, triangulation is a good approach, that is, an examination of whether informal or formal assessment from members of the same identity group corroborate assessments given by members of other identity groups. This leads to the issue of

measurement equivalence: Does a given score on an instrument have the same meaning for different social identity groups? If a manager is rated by colleagues from different identity groups, is it meaningful to compare their ratings? Our recent research in this area indicates that this is not always the case. For example, in our 360-degree feedback measures, we found that members of different cultures show systematic differences in their perception of the same manager. This leads to higher discrepancies between self-assessment and observer assessment in some cultures than in others (Eckert, Ekelund, Gentry, and Dawson, in press). When feedback shows such discrepancies, one must take care not to interpret them in the traditional sense as a lack of self-awareness or inaccurate self-perception of the leader but examine the underlying differences in values and implicit leadership expectations that exacerbate such rating discrepancies.

Furthermore, social identity is also likely to affect the assessed leader's reception of feedback. Many models of assessment, such as those used for 360-degree feedback, have been generated based on experiences with American males. Experience has shown, however, that the acceptance and utility of these instruments cannot be generalized across all identity groups. Especially for members of other cultures, formal multirater instruments can sometimes be seen as very American. In many cultures with high values of power distance, feedback from a subordinate to a boss may not be seen as important or appropriate and may be dismissed as unacceptably new. For example, in one of our leadership development programs in Egypt, participants were so unfamiliar with and put off by the idea of 360-degree feedback that those in an initial run of a program did not complete it. However, once they understood how it would help their development, they asked to complete 360-degree assessments after the program. Participants in later runs of this program were more receptive to the method. Generally in countries that emphasize respect for authority and indirect communication, upward feedback may be less likely to be accepted.

Finally, social identity has an impact on informal assessment processes as well. Social identity differences imply differences among individuals in background, perspective, and life experience. Leaders in an organization may be hesitant to provide informal feedback to someone who is from a different social group for fear that it might be inappropriate or tinged by mistrust. This makes it particularly important that people from all social identity groups have access to formal assessment if they want it. When differences among people make informal communication difficult, facilitated formal assessment processes can help leaders

get more of the information they need for their own development and to improve performance on their jobs.

Challenge

Challenge is a developmental force because it creates a condition where the leader must grow in order to be effective, and it can come in many forms in an organization. Challenging experiences require leaders to draw conclusions from their experience. Social identity can influence both what is learned from challenges and who has the opportunities to learn.

Learning from Challenging Social Identity Experiences Challenges generally teach a wide range of insights, skills, perspectives, and values (see Chapter Two). Situations that deal specifically with social identity can provide opportunities for learning about one's own biases, as well as skills for collaborating with others (see Chapter Thirteen).

The recognition of identity-related influences often leads to strong reactions. Leaders may realize that the way others perceive them is influenced by their social identity. These reactions are even stronger when leaders grasp the fact that even they themselves are not completely objective in their perception of others, and, as a result of that, they may treat people unfairly because of their membership in other identity groups. This recognition creates both the motivation and the opportunity for leaders to learn how to better understand different situations by taking into account their own social identity and perceptions of others. Social identity–related experiences can motivate learning how to interact effectively across groups. These challenges can offer exposure to different outlooks in organizations and paths for collaborating with a variety of colleagues. They offer the opportunity to learn about open-mindedness and to be inquisitive about other perspectives. Thomas and Inkson (2003) suggest that environments characterized by difference foster the development of cultural intelligence.

The Benefit of Social Identity–Based Challenge Social identity considerations also influence who has access to learning opportunities. Members of dominant and nondominant groups have different access to challenges depending on whether the challenges are based on social identity or are more generic. Members of nondominant groups naturally have more experience with identity-based challenges. For example, Douglas (2003) found that African Americans

report a much higher rate than whites of challenges that teach them that race matters. Members of the dominant group likely lack experience with identity-based obstacles because they have been more readily accepted in leader roles. As a result, they may lack awareness of their own social identity and how their dominant group membership affects how they are perceived by others. They also have less chance to have developed skills of coping with identity-based obstacles such as prejudice and discrimination, and thus might be overly challenged when being placed in a situation or location where they belong to a nondominant group.

As expatriate success depends on the acceptance and support by host country nationals, such assignments might actually be easier for leaders who already have experience overcoming identity-based obstacles. One example is Carlos Ghosn, CEO of Nissan. His Lebanese parentage roots, Brazilian birthplace, Jesuit education in Beirut, and graduation from an engineering college in France prepared him well to deal with identity-related obstacles in Japan. Not only did he transform Nissan from a loss-making to a profit-making corporation, he is also one of the most popular *manga* (Japanese comic and print cartoon) icons in recent times ("Nissan's Boss," 2004).

So how can challenge be used to help members of dominant groups better understand perspectives on diversity? Social identity–based challenges for dominant group members can occur naturally on and off the job. Formal assignments such as expatriate assignments, membership on a cross-cultural team, managing a major multicountry project, global responsibilities for a product, and even business trips to different societies can provide the opportunity for exposure to social identity–related challenges. Personal life can provide such challenges as well. Membership in community organizations and volunteer experiences with other cultures are ways to be pressured to learn about social identity, as well as offering the opportunity to try out new skills and behaviors. There are many ways to get immersed with members of a social identity group different from one's own and learn how to interact across social identity groups.

Challenges related to social identity can also be introduced in a targeted way into a classroom-based training program. One activity that CCL has used to introduce such a cognitive and emotional challenge is identity explorer, a social identity mapping exercise (Hannum, 2007). In this activity, an emotionally safe space is created that allows the introduction of difference. Participants are given three concentric circles as part of a self-assessment exercise. They then map their own identity in these circles by putting characteristics that they see as their

personal, core identity in the inner circle, placing attributes and features that define unchangeable aspects of their social identity in the second circle (such as family background, gender, education, and age), and mapping aspects of their social identity that they choose in the third circle. In addition to reflecting on personal self-identity, the activity requires leaders to share their identity map with a partner and discuss what it means. Often participants develop insights as to the privileges as well as the disadvantages associated with their social identity or discover through dialogue with their partner how their perception of the partner is influenced by his or her social identity.

Many other sorts of reflective and experiential activities can provide training program participants an opportunity to think about difference. The field of intercultural training, for example, offers many insights into the development of awareness of social identity (Connerley and Pedersen, 2005). Role plays, role reversals, simulations, films, field trips, and examination of critical incidents can all serve as challenges to promote learning about social identity. A lecture from the right expert and even a language course can challenge leaders to take social identity into account in their thinking.

The Distribution of Developmental Experiences Social identity also has an impact on who has access to more general types of developmental experiences. As CCL research has shown, challenging job assignments provide the most powerful learning opportunities for leader development (McCall et al., 1988; Wilson, 2008; Yip and Wilson, 2008). There is reason to assume that the same challenging assignments are not equally distributed across various identity groups because of a tendency for the most challenging assignments to go to members of the dominant groups (Douglas, 2003). Organizations may have few really challenging opportunities. Fear that someone "different" may not be up to handling particularly visible assignments unwittingly limits the opportunities to develop all the talent in the workforce. As mentioned earlier, differential opportunities can have a significant impact on learning and development.

There is also the point that members of dominant and nondominant groups may be challenged differently by the same type of experience. For example, consider the challenge of creating change in an organization. This might be experienced differently by a member of the dominant group who does not have to deal with any difficult nuances stemming from being a nonprototypical leader than by someone who does.

Support

Assessment and challenge alone do not provide a sufficient foundation for leader development in the context of social identity; leaders require support to proceed in their development from novice to intermediate to expert leader.

Practical and Emotional Support Support has both practical and emotional aspects. Practical support can be given in the form of role modeling or role playing to enable leaders to learn new behavioral responses; positive, practical feedback when leaders try out new strategies; or simply broader, helpful advice. Practical support might be provided by others who have had successful cross-identity group experiences. For example, people who have had significant global leadership experience can help give others useful information. Similarly, people from the same identity group can provide one another with guidance on handling the experience of being from that particular identity group. Practical support can come from the personal realm as well. Friends, family, neighbors, and community may have very practical information about dealing with differences provided that one is open to learn the differences. And support can be gained by attending lectures or reading factual material as well.

Emotional support can take the form of creating an emotionally safe environment for learning, where leaders can make mistakes without fearing negative consequences, or of assisting leaders when they manage cognitive or emotional identity challenges. Especially when leaders realize that they might have involuntarily discriminated against others, formal and informal support can help the leader to accept this realization as a learning point rather than a lack of competence or sign of failure.

Coaching and Mentoring Two common formal practices for practical and emotional developmental support are coaching and mentoring. Both can be effective in identity-based leader development. Leadership coaching is usually an ongoing process rather than a discrete event, involving practical, goal-specific forms of one-to-one learning that results in behavioral change (Hall, Otazo, and Hollenbeck, 1999). The methods and contents of coaching are described in detail in Chapter Four, so we only briefly mention the added benefit of coaching for leader development in the context of social identity.

The intimate, one-to-one relationship that is built over the course of coaching provides an ideal safe environment to explore identity-related issues. In this

sense, coaching can be especially helpful for leaders who cannot openly mention identity-based obstacles for their development. A coach, who is preferably an outsider to the organization and is bound by confidentiality, can help leaders face these obstacles and cope with them.

For example, one of our coach colleagues told us of a female senior manager who, even though being in the company for over twenty years, never revealed to her work colleagues that she was a lesbian. She kept her private and professional life, as well as her private and professional identity, completely separate. She did not feel good about this, realizing that it prevented her from feeling authentic in her leadership style, but she saw no alternative. She feared that revealing her sexual orientation would bar her from any further advancement in the company and result in averse reactions, so that she most likely would have to leave the organization. The confidential and individualized nature of the coaching relationship allowed her to address this sensitive topic, work through the emotional stress associated with suppressing her sexual identity at work, and finding a more balanced, less restraining perspective on the perceived conflict of authenticity versus acceptance.

Our coaches frequently encounter situations like this because coaching provides an extremely supportive context in which significant personal issues can be discussed and worked on. A key ingredient for successful coaching is that the dyad has rapport. In some cases, this may mean that the coach and coachee are similar on a particular aspect of social identity. In Japan and parts of the Middle East, careful practice is to match coachees with coaches of the same gender.

Mentoring is a long-term relationship commitment between a senior person (mentor) and a junior person (mentee), in which a junior person is given personal and professional development support by the senior person (McCauley and Douglas, 2004). Overall, mentoring has been shown to be an effective developmental tool for members of both socially dominant and nondominant groups across cultures (Wilson, 2008; Yip and Wilson, 2008). But what pairing of mentor and mentee provides most benefit? One answer is that matching mentor and mentee by social identity facilitates mutual understanding, sharing of perspectives, the development of trust, and overall openness in the relationship. Practical advice from a mentor of the same identity groups, who might have had to overcome the same challenges, can be more useful for a mentee than advice from some other mentor.

Overall, research confirms identity matching as increasing mentoring effectiveness for the mentee. Avery, Tonidandel, and Phillips (2008) showed that

matching gender and attitudes resulted in more career development and psychosocial support for the mentee. Koberg, Boss, and Goodman (1998) found that the quality of mentoring received was higher in mentoring dyads of the same sex and same race than in cross-sex or cross-race dyads. Scandura and Williams (2001) reported similar findings for gender-matched mentoring of women.

Factors other than the similarity of mentor and mentee also influence the effectiveness of mentoring relationships. Hierarchical status of the mentor (the higher, the better) is an important factor for mentees' career-related benefit (Ragins, 1997). Because most top leaders still belong to the socially dominant group, a catch-22 situation arises for mentees of nondominant groups: Should they look for a mentor of their own identity group to profit from their similarity in outlook and experience, or should they aspire to get a mentor on a higher hierarchical level and profit from that person's exposure and experience? This question needs to be answered by each mentee individually, depending on his or her personal development needs.

Differing Levels of Comfort with Support Social identity may create differences in the level of comfort with supportive relationships. For example, American men may be less likely to request support than American women do. The norm of self-reliance and independence may make it difficult to ask for advice or counsel. Other social identity groups may be more comfortable asking for support. In Singapore and India, where there is stronger dependence on others, many leaders consider it part of their responsibility to help and guide others (Wilson, 2008; Yip and Wilson, 2008). The point is that support may be more available for some groups than for others.

Informal Sources of Support One final issue is that many leaders rely on informal sources of support on their leadership journeys. Friends, colleagues, social networks, and family members can all provide unofficial sources of support. This informal support can be extremely beneficial; however, problems can arise when organizations assume people have informal support and do not realize that such support may be differentially available to members of dominant and nondominant groups. If a leader is the first person in his or her family or social circle to embark on a leadership journey, it may be difficult for this person to get the necessary practical support through informal mechanisms. If organizations want to enhance the development of all, they must offer formal systems of support so that all potential leaders have access.

Feedback-Intensive Leader Development Programs

In feedback-intensive programs (FIPs) such as those offered by CCL (see Chapter Three), the ACS elements converge in one developmental experience. This is a common approach to leader development. Our experience with FIPs for a broad range of leaders, from high school students to senior executives, is that such programs provide appropriate and useful developmental experiences for leaders who have different social identities, different development needs, and different levels of leadership expertise. However, the specific content and learning goals of such programs can vary.

At CCL, we incorporate social identity in leader development in both single-identity FIPs and mixed-identity FIPs.

Addressing Social Identity Through Single-Identity Programs

A single-identity program is a program intended for leaders from one identity group. CCL has offered these programs for women, African Americans, particular professions, and language or country groups. The content is very similar to general leader development programs, but the single-identity format allows the additional discussion of issues, concerns, or obstacles common to the group.

One great advantage of these programs is that they offer a safe, supportive environment for sharing experiences, doubts, fears, and successes, and people feel freer to probe more deeply into their own self-concept and perceived strengths and weaknesses without the need to satisfy a certain image or expectations of other identity groups. They also allow exploration of that part of their identity that deals with the collective self—in other words, the "us" instead of the "me" (van Knippenberg, van Knippenberg, De Cremer, and Hogg, 2004).

A second advantage is that these programs are extremely validating. They provide a room full of people who are "just like me" and struggle with similar obstacles. This experience is especially important for leaders of nondominant identity groups. Developing as a leader requires incorporating the leadership role as a key part of self (Lord and Hall, 2005). Single-identity programs offer the opportunity to be validated in a way that helps to integrate one's leader identity with other key aspects of one's social identity.

A third advantage of single-identity programs is that they provide an opportunity to tailor the content to the specific needs of the audience. In programs for managers from a particular country, the content is delivered in a specific language and addresses leadership issues specific to the context. Examples and training

tools are targeted to the group. These programs can use assessment instruments created for their specific identity groups and provide feedback in a way that emphasizes the normative comparison of the identity group.

If leaders from nondominant groups get negative feedback from a mixed-identity group, they can easily reject it by claiming others were prejudiced against their identity group. However, in the single-identity program, peer feedback from other participants of the same identity group can confirm or deny whether there really is a genuine problem. It allows the triangulation of data in a way that is not possible for a nondominant group member in a mixed-identity program.

Despite these advantages, single-identity programs remain controversial (Ohlott, 2002; Ohlott and Hughes-James, 1997), in part because they resemble the everyday workplace less than do mixed-identity programs. Also, it can be argued that single-identity programs for nondominant groups, such as women, can be detrimental in the long run because they nourish stereotypical attitudes in men (Heilman, 1995). Organizations sometimes see these programs as non-standard and less valued than a traditional leader development program. Another risk is that people in a single-identity group setting may denigrate members of other identity groups. Yet our experience has not shown that these negative consequences actually occur. Our trainers report that very little bashing of other groups takes place. Participants are highly focused on their own development and discovering ways of overcoming their personal challenges, identity related or not.

Addressing Social Identities in Mixed-Identity Programs More typically our FIPs are for mixed groups. These more traditional programs provide another context in which to deal with social identity. The great advantage of this approach is that the program is seen as standard and allows participants the opportunity to take perspective across identities. Many of our mixed-identity programs in Europe and Singapore discuss the impact of different national identities. However, because certain social identities contribute to different career barriers and facilitators for different people, identity-related issues can be awkward to discuss.

Generally training programs try to create safe environments for discussion, though sometimes people are wary about sharing identity-related issues because of reactions that others may have to such sharing. Also, many facilitators can be uncomfortable talking about the impact of societal power imbalances in the organization. But mixed groups can and do find ways to address these issues

effectively. Trainers of mixed groups must be prepared to deal with identity issues that may be outside their own personal experience. Foldy, Rivard, and Buckley (2009) argue that a climate of psychological safety is essentially for surfacing different views and encouraging the interpersonal risk taking necessary for open discussions about social identity in a mixed group.

Making the Choice Whether a single- or mixed-identity program is the better choice may depend on the development level of the group, according to Lord and Hall's (2005) distinctions of novice, intermediate, or expert leaders.

For novice leaders, who have little awareness of how their social identity affects their leadership style and have not yet dealt with the question of integrating their social and leader identity, a mixed-identity program can provide a useful environment to explore and discover their social identity and its consequences.

For leaders at an intermediate stage of development, who are already aware that their social identity bears on their experience and effectiveness as leaders, a single-identity program can be most helpful because it helps these leaders examine in detail how their own identity shapes their experiences and perspectives, how it affects how they are perceived by others, and how it supports them in overcoming identity-based obstacles.

For expert leaders, a higher-level mixed-identity program might provide the best environment for development. These leaders, who already understand themselves in the context of identity and can lead effectively across different identities, can use the exposure to leaders of different social identities who are at a similar stage of development to broaden their perspectives further. This helps them to continue to develop their skills to lead organizations, to bridge identity divides, and to become more inclusive of all.

The bottom line is that it is up to the individual leader to determine what might work best. For someone who feels that social identity is constraining his or her career, a single-identity program might be most appropriate.

IMPLICATIONS FOR LEADER DEVELOPMENT PRACTICES IN ORGANIZATIONS

Although ACS provide a good foundation for identity-based leader development on an individual level, organizations need to create an environment that is conducive to and appreciative of such development. In order to manage and develop their leadership capabilities, organizations must account for social identity

dynamics when designing their systems for leader development. This can happen mainly in three ways: acknowledging the importance of social identity for leadership development, reviewing and restructuring systemic influences on their leaders' development, and considering the soft side of the organization, or the degree to which the organization has an inclusive culture and shared identity.

Acknowledging the Importance of Social Identity in Leader Development Curricula

Organizational systems and approaches for leader development should reflect an emphasis on individual growth in the understanding of the social self. Organizations would benefit from having a clear path facilitating the progression from novice to expert leader with regard to social identity, as Lord and Hall (2005) suggest.

In the novice stage, leaders must work on seeing themselves and being seen as leaders and focus on what it means to be leader. The curriculum for development should include increasing individuals' awareness of their own social identity and how it affects how others view them. Novice leaders need to understand that their behaviors will be seen from a social identity perspective. They may be viewed as fitting leadership stereotypes or as having to work against them to convince others they are capable. They need to appreciate the influence of social identity on self-concept.

Intermediate leaders benefit from content that helps them shift from focus on the self to a focus on others. One way is to introduce intermediate leaders to approaches for being effective in developing the talent of others by promoting learning about others. Intermediate leaders need to understand the social groups they are interacting with, as well as the impact of their own identity. Members from dominant groups in society need to understand that dominance and competency are not equivalent.

Bhawuk, Sakuda, and Munusamy (2008) have developed a framework that can be used to help individuals learn how to deal with others from different cultural identity groups. Although this approach focuses specifically on cultural learning, it is quite useful for developing relationships between members of all types of social identity groups. The framework uses the six A's of cultural learning:

- Acknowledgment of differences
- Acceptance of differences

- Aim to learn about differences
- Actions to bridge differences
- Authenticity toward bridging differences
- Accumulation of learning through and from differences

There are specific skills that can be learned for each learning step.

Expert leaders must understand quite deeply not only how they fit into the collective but how others fit into the collective as well and can shape and reframe organizational identity to be inclusive of different outlooks, experiences, and perspectives. This is an important capacity for someone with major leadership responsibilities to have. Great world leaders such as Gandhi are well known for their deep understanding of their followers and made great effort to immerse themselves into the collective. Gandhi took responsibility for developing the capabilities of others as well as for creating a way for people to identify with him. For example, his action of wearing homespun cloth that he spun himself and living as a fakir (one who lives on alms) are testimonies of how he identified with his followers, how he brought people together regardless of their social groups, and how he shaped the nonviolence that was inclusive of different social groups (Bhawuk, 2008). Like Obama today, Gandhi was an entrepreneur of identity, skilled at reaching out to people of many different backgrounds to create direction, alignment, and commitment. Organizational dynamics are constantly shifting, and old solutions often stop working when new problems arise. Expert leaders must be able to modulate their own identity to be comfortable in different situations and use the social processes of leadership to create an identity others can relate to. They have to understand and be able to negotiate their own identity and that of the organization so that all feel empowered.

Reviewing and Restructuring Systemic Influences

In addition to maintaining a leader development curriculum informed by social identity dynamics, another step organizations can take is to review the nature of leader development opportunities in and outside the classroom. Organizations need to consider how inclusive they really are in distributing development opportunities and intervene when practices fail to be sufficiently inclusive of different identity groups. Organizations need to review promotions, participation in leader development programs, turnover, grievances, and pay differentials among groups. Internal audits of human resource data can highlight where

systems are falling down. Organizations can then develop human resource policies and procedures to rectify differential opportunities. Organizations have a responsibility to see that ACS opportunities—developmental assignments, coaching and mentoring, and development programs, for example—are widely available to members of all identity groups and are not limited to those of the dominant group (see Chapter One).

Organizations also need to ensure that not only opportunities for development but also rewards and consequences (positive and negative) are equivalent across identity groups. For example, members of nondominant groups who do not succeed on challenging assignments should not experience more negative consequences from such failure than would members of the dominant group.

Fostering an Inclusive Organizational Culture

In addition to looking at structural issues, organizations must pay attention to their soft side—their organizational culture. Culture is tied intimately to identity. A culture that is inclusive provides conditions that support the integrated identity of leaders. The organizational culture for inclusion of different identities and the beliefs about diversity of organizational leaders are important factors that enable or hinder the representation of different social identities across all leadership levels. Developmental practices such as mentors, networks, the presence of role models, visible assignments, and career guidance should be available to all so that the most capable people can emerge as leaders. We argue that organizational leaders set the scene for embracing differences because they act as role models and examples to others (Glover and Carrington, 2005). Do not underestimate the organization's role in creating a climate conducive to the respect and inclusion of all social identities. As exemplars of attitude, communication, and behavior, leaders can help organizations to manage diversity well.

CONCLUSION

No longer can we assume that leaders will be packaged in a particular type of body, look, or skin color. The challenges of this new millennium require that leadership be unlocked throughout the population. This makes it imperative that leader development processes aim at enhancing everyone's understanding of social identity dynamics for everyone—both dominant and nondominant groups. Members of nondominant groups may need special attention to help

them integrate their social identity with a leader identity. Members of dominant groups may need to develop greater understanding of their own social identity and its influence within the organization. In fact, dominant groups often have more trouble grasping the nuances of social identity than others do. The one-size-fits-all model of leader development of the past no longer holds. Both organizations and individuals face considerable costs if they ignore social identity issues: organizations lose vital human and social resources, and individuals face costs in terms of their own authenticity and effectiveness.

The ACS principles play a vital role in leader development, but practitioners should realize that development must take social identity into account as well. Regardless of whether development is left to occur informally or is structured formally by an organization, social identity matters. It influences both the capabilities to succeed in today's relational world and the execution of techniques for development. An approach that purposefully incorporates social identity into leader development is a promising way of helping organizations use their most vital resource, talent, to its greatest capacity.

chapter
SIX

Development Programs for Educational Leaders

Karen Dyer
Mike Renn

This chapter focuses on developing leaders for a specific context: organizations that are designed, created, and function daily to meet the educational needs of children in kindergarten through twelfth grade in America's public schools. This context is similar to all other leadership contexts in some ways. For example, goals must be set and achieved, employees must be motivated and developed, and resources must be obtained and well managed. However, we believe that the public school setting has unique elements that demand a customized approach to the development of its leaders.

We first describe two characteristics of educational leaders that we think influence their perceptions of leader development: their entry into public schools as classroom teachers and their expertise as educators. We then turn to the broader sociopolitical context—the external forces that influence the process of education and, subsequently, the dynamics of leadership in school settings. Finally, we share how we have taken these background and contextual factors into account in the design and delivery of leader development programs for educational leaders.

BEGINNINGS AS TEACHERS

Historically in the United States, educational leaders at the school level (principals) and school district level (superintendents) began their careers primarily as classroom teachers. This common professional background has generated a population of educational leaders who share similar motivation, knowledge, and challenges.

First, it is important to note that a teacher's world focuses on his or her students. The opportunity to have an impact on children is what motivates many public school teachers to enter the field. The teaching profession is committed to serving the interests of students—their learning, their well-being, and their progress. Teachers often make sacrifices and take on work beyond their formal responsibilities because of their concern for the betterment of students.

Because the teacher's world focuses on students, the transition from a professional classroom role to a managerial role can be particularly difficult for them. Consider a few of the typical elements of this transition:

- Classroom teachers often envision an administrative leadership role as a change of career rather than a promotion within a career; there is little or no career path within teaching.
- Classroom teachers often are discouraged by their peers from leaving the teaching ranks to pursue an administrative leadership role and even get criticism for "opting out" on what is seen as their commitment to children.
- Classroom teachers are in a work world that keeps them largely isolated from other adults during much of the day—a sharp contrast to the highly interactive world of managerial work.
- The strong emotional connections to students that teachers work to create are often discouraged by the school leadership culture as they move to become leaders of adults. There is an expectation that the "heart (soft) work" that is expected in working with children is not appropriate or needed when working with (or leading) adults.
- Teachers are often members of professional organizations or labor unions that, as an element of their advocacy for teachers, have a somewhat adversarial and even confrontational relationship with educational management; thus, the transition can feel like joining an opposing team.

These realities can make the pursuit of an administrative leadership role seem powerfully dissonant with everything that has brought teachers success and

satisfaction in their classroom role. This often leaves them with little desire for a transition that they feel will cost them a great deal and alter what they have come to see as the highly developed self they have worked to perfect as a teacher. Even when they decide to enroll in a graduate program to increase their knowledge, amplify their skills, and increase their salaries, they find that these programs often assume that they are pursuing a single career path: teaching or administrative. For the potential educational leader, making the transition to formal leadership can seem like an abandonment of the children and their chosen profession.

EDUCATIONAL EXPERTISE

Another important characteristic of educational leaders—also related to their professional background as teachers—is their expert understanding of the dynamics of learning and development. Educational leaders know what the design of effective leader development programs should entail. The assessment, challenge, and support (ACS) model of leader development described in the Introduction to this handbook resonates with educational leaders. They are well versed in principles of adult learning (Knowles, 1973):

- Adults need to know why they need to learn something.
- Adults need to learn experientially.
- Adults approach learning as problem solving.
- Adults learn best when the topic is of immediate value.

They have embraced notions of lifelong learning (Day, 1998), reflective practice as the core of continuous learning (Schön, 1987), and transfer of learning as a critical element of effective training programs (Joyce and Showers, 1981). As a result, educators are sophisticated consumers of learning and development interventions.

SOCIOPOLITICAL CONTEXT OF EDUCATION

In 1831, Alexis de Tocqueville, a twenty-five-year-old Frenchman, received permission to travel to the United States for the purpose of studying its prison system. In addition to this expressed purpose, Tocqueville was particularly intrigued with the idea of democracy. He published his lengthy observations in *Democracy in America* (1835/2000) in which he wrote about every conceivable aspect of Americans and their culture, including what he viewed to be an interesting educational institution: public schools. Regarding these schools,

Tocqueville commented, "It is the provisions for public education which, from the very first, throw into clearest relief the originality of the American civilization" (p. 45). Tocqueville saw America's public schools as a key facilitator of democracy and clearly recognized the connections between public schools and the nation's new democratic form of government: an educated citizenry is a prerequisite for government "by and for the people." And with a free and public system of schooling, America had created an equalizer or leveler of people that became a keystone in the foundation of its participatory government. It was evident that democracy raises both the ante and the expectation for an educated citizenry and thrusts the enterprise of public education into the public eye, making that institution subject to public scrutiny.

The expectations that accompany a democratic government clearly bring weight to bear for communication and transparency on those who lead schools. If this were not weight enough, the fact that public schools are funded by taxing the citizenry amplifies at a personal level the stake the public has in their schools. It is an uncommon school principal who has not heard the dreaded words spoken in anger by a discontented parent: "I pay your salary." Such words are often spoken by citizens who believe that their child has somehow been wronged by an offending faculty or staff member, and the mention of salary establishes the fact that this citizen believes that he or she has invested resources and thus can hold the school leader accountable. The reality is that each dollar spent, under dispute or not, has the potential to become a larger-than-life politically significant decision. Although most citizens see tax monies spent on children as an investment in the future, they often differ with regard to their sense of the relative priority of education versus other community or national needs. As a result, nearly every decision that educational leaders make is held up to the harsh light of public scrutiny and opinion. Leadership and the decision-making responsibility that accompanies it often become protracted and painfully transparent under the public eye.

The political complexities of educational leadership are amplified by school system governance structures. School districts are governed by boards of education, and the greatest proportion of these boards are elected by the public. In some states, these boards levy taxes, and in others, a separate elected body has the taxing authority, so the school board must appeal to that body to access resources for schools. This politically charged environment represents enormous challenges for the educational leader, who is firmly trapped in the political middle. In this environment, principals and superintendents who claim that they are not

political and simply want to be left alone to exercise their professional knowledge and judgment to operate the schools will not be educational leaders for long. In recent years, the average tenure of large-district superintendents was twenty-six to twenty-eight months (Snider, 2006). Understanding the political processes of influencing and of advocacy is critical to an educational leader's success. Navigating the process of measuring public pressure and opinion against educational research and best practices is critical to an educational leader's success. And even simply understanding the significance of what it means for the local school district to be the largest employer within a respective community is critical to an educational leader's success. All this and more is required of principals and superintendents who want to remain employed to the benefit of children.

The public nature of K–12 education also means that whatever is accomplished, positive or negative, is subject to the constant scrutiny of and interpretation by the nation's media. Leading for educators means leading on the front page of the local newspaper. As a group, educators have little issue with the fact that the public has the right to know, since both the children and the money used to operate schools are theirs. In this same vein, legislation in all fifty states exists mandating that nearly everything that is the business of schools is also the business of the public at large. The operational realities of running a complex organization become immeasurably more complicated under an expectation of openness. Leadership in a truly open environment requires that leaders recognize that both words and actions will pass through a media filter on the way to the public. The power of that filter is well known to educational leaders, and with that comes extreme caution at best and fear and loathing at worst. To read one's name on the front page of the newspaper, hear it on the evening news, or be covered on YouTube is to know that all those within the range of the circulation of that media outlet are also reading and hearing it, and that knowledge can be disorienting. The education context requires strength and courage to lead transparently and to do what is right despite the possibility of being subject to harsh criticism through a dreaded headline or lead story. Concealment of information is seldom successful when the public wants to know, and that reality can cloud and confuse leadership behaviors.

One additional factor elevates and complicates leading in a public school setting. Schooling is focused on the single most important element in the life of parents: their children. The level of emotion associated with concerns about one's children cannot be overestimated, and the behaviors elicited by those emotions can be beyond reason, civility, and belief. Leading in educational organizations

takes on a level of importance that makes most other administrative concerns pale by comparison. In a context where conflict on an issue often rises to the highest level on both sides and involves the interests of multiple stakeholders—teachers, staff, parents, children—expert leadership is required.

In addition to leading in a context that is highly visible and has multiple stakeholders, educational leaders are also leading in a bureaucracy. Educational institutions have clear divisions of labor and structured hierarchies of authority; rely heavily on policies, rules, and regulations; and perpetuate stable career patterns. For many years, the dominant view of the school was akin to the "school as factory," with its emphasis on efficiently producing uniform, standardized student outcomes (Schlechty, 1990). Even with the rise of a more student-centered view of schools with its emphasis on different treatment for different student needs, bureaucracy persists. As a result, innovation and change are difficult to cultivate in these organizations. For educational leaders, there is significant inertia to overcome in order to lead schools and school districts to new ways of viewing the educational process. These new ways include providing multiple educational paths for students that offer them the flexibility to pursue a broad range of life journeys. And they include recognizing that education, instead of being associated with a particular place (the school), must travel to where it can best be accomplished effectively. Achieving these changes will require developing new educational leaders who can learn and change at a faster pace and on a higher trajectory than their organizations, putting them in the position to guide and advance the way forward.

DEVELOPMENT PROGRAMS FOR EDUCATIONAL LEADERS

On the surface, the Center for Creative Leadership's (CCL) programs for educational leaders look very much like its other leader development programs (see Chapter Three). They embrace many of the same principles and make use of the same models, exercises, and assessment tools. Nevertheless, these programs are customized for the educational leaders' personal characteristics and sociopolitical context in these ways:

- An emphasis on the link between leader development and student learning and achievement
- The use of program facilitators who have in-depth understanding of educational organizations, can translate general models of leadership into the public

school context, and have deep empathy for the sociopolitical challenges and pressures educational leaders face

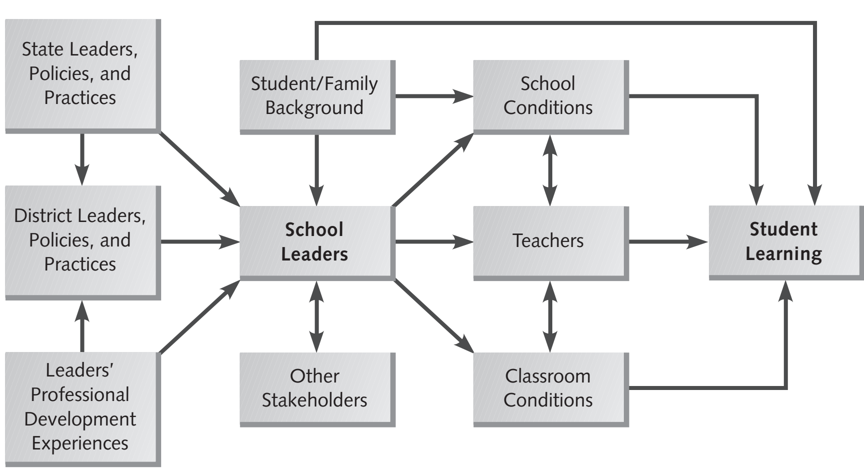
- Programs designed for impact so that learning goes beyond conceptual understanding to include skill attainment and application to one's own institution
- Increased attention to the particular skills and capabilities that are critical for leading effectively in educational settings
- The means for leaders to build capacity in others

Linking Leader Development and Student Outcomes

Many educational leaders, despite understanding the importance of school leadership for student learning and achievement, have been uneasy about and in many cases unwilling to allocate resources toward their own development as leaders. With limited funding, principals and superintendents are more likely to apply professional development resources to their teachers and other staff rather than to themselves. When they do entertain engaging in leader development, they ask two primary questions: "How do program goals connect to student achievement?" and "What kind of impact can I expect for my investment of time, energy, and resources?" That educational leaders would ask these questions is not surprising, given their commitment to students and the expectations of boards, parents, and the public in general.

In response to these queries, we are careful not to claim causation ("If you attend a program, your student test scores will improve"). However, we do articulate how leader development is related to student achievement. For example, we use the graphic in Figure 6.1 to show the school leader's role in the network of interrelated factors that affect student learning. This figure is derived from a review of research by Leithwood, Louis, Anderson, and Wahlstrom (2004) that concluded that effective school leadership can play a highly significant role in student learning, second only to classroom instruction, and that the impact of leadership is greatest in schools with the greatest challenges. Perhaps more important, the figure illustrates that leaders do not have a direct impact on student learning; rather the impact of their learning is reflected in their impact on school conditions (articulating a vision, setting high performance expectations, and promoting effective communication through the organization), teachers (recruiting, motivating, and developing teachers), and classroom conditions (securing adequate classroom resources and providing models of best practice).

Figure 6.1
Relationship Between School Leaders and Student Achievement



Source: Leithwood, Louis, Anderson, and Wahlstrom (2004).

Figure 6.1 also shows that leaders' developmental experiences are one of several factors that are important to their effectiveness.

In addition to a model illustrating the link between leadership and student learning, it is important to share with educational leaders the research, case stories, and impact studies that demonstrate the relationships between leader development and student success. For example, in a study of the South Carolina School Leadership Executive Institute, one of the key findings was that 88 percent of the principals involved agreed or strongly agreed that the program taught them what they needed to know to have a positive impact on student achievement (Hoole and McFeeters, 2008). In-depth case studies provided additional evidence of the positive impact on schools through principal-led initiatives to improve test scores and decrease discipline problems.

Facilitators Who Are Education Practitioners

Educators are well aware of the unique sociopolitical challenges and pressures of their context. And they are most open to learning when program facilitators have firsthand knowledge of that context, show appreciation for the dynamics of that context, and truly honor the realities of that context. In our practice with

educational leaders, we always ensure that at least one of the program facilitators is or has been a public school practitioner. This experience base gives the facilitator credibility with the participants, the ability to translate from general leadership concepts to the specific leadership situations that school leaders face, the historical perspective to connect what has been to what ought to be, and the empathy to understand and help give voice to the emotions that can be expected while leading in school settings.

Filtering the program content through the context of education is particularly important. For example, we use a simulation exercise to stimulate learning about work design, continuous improvement, staff participation, and team-based change. The exercise does not simulate a school setting but rather a plane manufacturing company, and each participant plays a role in the production process. The simulation consists of a series of production runs with opportunities between runs for participants to collaborate and improve their collective performance. Educational leaders could react to such a simulation by asking, ''What does this have to do with me and my job?'' But an experienced educational practitioner can debrief the exercise, generating discussion about how the various work stations are similar to classrooms or grade levels (for groups of school principals) or schools (for groups of superintendents), how flying planes is like student achievement, and how meeting various customer specifications is equivalent to meeting the demands of parents and school board members.

When using a simulation with a less familiar context, an experienced practitioner can also facilitate learning from the differences between the simulation and the educational context and the implications of those differences. For example, education deals with human products, not widgets; and humans are unique, complex, and fragile products. So facilitators can provoke rich and useful discussion among school leaders by focusing on what might be different and critical to consider in leading an organization in which the development of children and youth is the most important outcome.

We use the plane manufacturing simulation rather than a school setting simulation because there is always a hazard in using simulations that attempt to reproduce the environment that participants are intimately familiar with. In those cases, the slightest variance between the details of the simulated case (in this case, a simulated school environment) and participants' personal experiences of their own contexts can be reason enough to reject the feedback that the simulation experience might offer.

Designing for Impact

Because educational leaders understand the dynamics of adult learning and are highly motivated to ensure that any investment in leader development will yield positive outcomes for their organizations and students, they expect program designs that go beyond providing a conceptual understanding. They expect to engage in learning experiences that will facilitate skill attainment and back-home application.

Research with educators has shown that the impact of training increases as the design of the program expands beyond presentations and modeling of skills and behaviors to include practice, feedback, and peer coaching (Joyce and Showers, 2002; Showers and Joyce, 1996). Presentations and modeling generate conceptual understanding but little in the way of skill attainment or ongoing application. The addition of practice and feedback significantly increases the number of individuals who achieve skill development from training. Moreover, the effective application of new skills in the workplace is significantly increased again (beyond that which is induced by the addition of practice and feedback) through ongoing participation in peer coaching teams that challenge and support practice and implementation of learning.

Educators want to quickly go to application. This need can be met even in the classroom by pairing any activity, exercise, or simulation and the subsequent extraction of lessons learned with a conversation about application prompted by questions such as: What are the implications for you as a leader back at your school or district? What are the lessons learned, and how can these be applied to the real-life, day-to-day situations you face? In what ways will you be able to use this information with your staff? Application is enhanced in other ways too:

- *Multisession designs.* When programs take place over time in multiple sessions, participants are afforded the opportunity to develop an action plan to enact between sessions (see also Chapter Three). At the beginning of the next session, they report on their activities and any impact, and other participants offer them feedback, advice, and support. Progress and accomplishments can be celebrated, creating accountability for applying what they have learned and positive reinforcement for the progress they make.
- *Learning cohorts.* In a program with a multisession design, cohorts are formed by groups of leaders attending sessions together. Being part of an ongoing cohort of learners provides support for moving from content knowledge to

action, both between program sessions and after the formal development initiative is complete. Fellow participants can share stories of what worked and what did not, draw on each other's expertise, and encourage experimentation and continued progress. These connections can be made in person during program sessions and virtually between sessions and afterward.

- *Teaching others.* The ability to expand the leader development experience beyond themselves, taking concepts, models, tools, activities, and exercises back to their organizations, resonates with educational leaders. In teaching others what they have learned, participants reinforce their own learning and create a community of learners in their organizations who can support changes in behavior and the continued acquisition of skills.
- *Evaluation of impact.* For a number of reasons, including the use of public money, the value that participants and their stakeholder groups place on student learning, and a culture supportive of understanding the impact of interventions, leader development programs for public school leaders are more likely to include efforts to evaluate the impact of the program on the leaders themselves and their ability to have a positive effect on student achievement.

Capabilities Critical for Leading Effectively

In education, the content of most development programs for leaders has focused primarily on creating and sustaining a vision for learning; providing instructional leadership; sustaining a culture of achievement (including ensuring a safe and productive learning environment); promoting increased parental involvement; recognizing the sociopolitical realities that strongly influence policies, procedures, practices, and norms of behavior; and managing operations—all in the service of student learning. Although myriad roles and responsibilities are associated with each of these areas, they reflect the day-to-day realities of school and school district administrators as a whole. We see these skills and capabilities as essential and necessary but not sufficient for success as an educational leader. Based on CCL's research on leadership development and our own experience in the field, we see additional capabilities as central to effective leadership in educational organizations.

Self-Awareness As with all other leaders, educational leaders need to understand their individual strengths and development needs. This is accomplished through assessment tools, simulations, experiential activities, and staff and peer feedback (see Chapter Three).

This examination of one's effectiveness as a leader is particularly important for those who are making the transition to principal or superintendent roles. Both transitions are critical, and the skills and abilities needed for success can be dramatically different from those relied on in previous roles. The potential for derailment is high. For example, many new school principals are transitioning from roles as assistant principals or teachers. In these roles, they were successful primarily because they were effective at dealing with students. As a principal, they will be working primarily with adults from multiple constituencies: teachers, parents, community leaders, and others.

In addition, different interpersonal dynamics are at play in adult interactions than in adult-student interactions. Adults in a school system have authority over students, and effective educators have learned strategies for exercising this authority. For example, they learn to use body language and presence to control situations with students. Principals also have authority in their schools, but their relationships with teachers are different from the adult-student relationships. Using body language and presence to control situations with teachers can at worst be experienced as intimidation and at best as uncomfortable, and effective relationships with parents and others in the community also require strong interpersonal skills.

New principals can be quite unaware of how they may be applying the approaches they developed in working with students to the context of working with adults, making this transition an important time for in-depth assessment and feedback.

Leading Change Because of the role that public schools play in a dynamic and democratic society and the multiple stakeholders who care passionately about the impact of schools on students, educational organizations are engaged in continuous improvement efforts. Thus, navigating and leading change is a critical competency for educational leaders. They must be able to articulate a compelling vision, assess a school's or system's readiness for change, develop strategies and plans for implementing change, support people in making transitions that enable the change, and deal with unanticipated problems that arise in the midst of change.

But changing a complex organization like a school district is fraught with difficulties. Michael Fullan (2001), one of the leading change theorists in education,

has identified five characteristics of effective leaders of change in schools, each of which can be enhanced through leader development programs:

- *Projecting a sense of moral purpose:* Acting with the intention of making a positive difference for students, employees, and society as a whole.
- *Understanding of the change process:* Knowing the role that vision, skills, incentives, resources, and action plans play in managing complex change.
- *Improving relationships:* Building positive relationships with diverse people and groups who have a stake in the change.
- *Building knowledge:* Generating and openly sharing knowledge inside and outside the organization.
- *Building coherence:* Although leaders often need to tolerate ambiguity, seeking coherence and shared meaning is essential for generating real commitment to change.

Managing Conflict Given our earlier description of the sociopolitical context of educational organizations, it should be no surprise that conflict is an everyday occurrence for many educational leaders. Having knowledge of one's personal conflict management style and how it hinders or helps in resolving conflict and solving problems is a key element in a school leader's success. In our programs, we focus on developing this knowledge through self-assessments and feedback from others on how one deals with conflict and through exercises that allow participants to see their own reactions to conflict in action. We pay special attention to giving and receiving feedback, seeing conflict as opportunity, coping with the emotions resulting from conflict, and authenticity as an important positive element in a leader's conflict style. The bottom line is that poorly navigated conflict yields collateral damage that can have a negative impact on a leader's longer-term effectiveness and legacy.

Many school leaders have learned to deal effectively with conflict in the moment. They have learned how to listen to concerns, absorb criticism from others without "returning fire," and find common ground by putting the needs of students at the center of problem solving. School leaders have developed these skills from the crises and conflict that are inevitable in schools. What they have

not learned to do as effectively is anticipate and plan for conflict and repair relationships after a conflict.

Dyer and Carothers (2000) relate the story of a particularly difficult board meeting at which a principal was being taken to task about an incident that had occurred on a student field trip. Anticipating that the comments would be harsh and that the true story needed to remain confidential to protect the rights of the students involved, the superintendent had prepared the principal for the meeting, communicating that "issues of integrity make it necessary to remain resolute" (p. 34). After the meeting, the superintendent noticed how colleagues avoided the principal or offered awkward gestures of support. After everyone left, she sat down next to the principal, shared several minutes of silent contemplation, put her hand on the principal's shoulder, and said, "Have a good evening." Later, the principal noted how much he appreciated that moment of companionship, which left him feeling supported, understood, and cared about. It was how the superintendent anticipated the degree of conflict and how she signaled her support for the principal that sets her apart.

Power, Politics, and Influence Effective educational leaders must also develop their capacity to use power and influence skills in a highly political context. This includes creating strategies that leverage relationships with power brokers and other stakeholders, such as school board members, other elected officials, and the public in general; positioning oneself as a visible leader in the community (not just as a leader within the schools); formulating effective ethical standards; and creating value-based leadership tenets, such as emphasizing the responsibilities that schools take on for the public good, articulating the values that guide effective decision making in schools.

Understanding the differences between positional power and personal power, and how to balance the two, is particularly important for leading in educational organizations. In our programs, we make a point of building in time for program participants to share stories of how they balance positional and personal power and to act as advisors to each other on political situations that they are struggling with. It is not unusual to get extraordinary stories like this one from a principal:

> Let me tell you my situation because I need some advice on what I should do. My school is small and in the rural part of our county. I have seventeen teachers. One of the teachers is my board president's wife. Another board member's wife is a teacher, as is the daughter of

> a third board member (and there are only five members of the board of education). And another teacher is the mayor's wife. The truth is that it is almost impossible for me to be in charge of anything in this school!

Participants readily sympathize with difficulties posed by situations like this one and offer practical suggestions for dealing with the dilemma. Through such discussions, it is apparent that school leaders need to learn how to develop and use personal power, based on their competence, communication skills, and positive relationships, to engender commitment among staff and other stakeholders.

Using Teams Problems and issues in educational organizations are often addressed by teams. A typical school has multiple teams—subject matter departments (for example, English and math), grade-level teams, school site councils, and school leadership teams—as well as temporary task forces and committees managing special initiatives. As a result, educational leaders must learn to form and manage teams and develop team leadership in others. Team leadership competencies include identifying barriers to team performance, developing a positive team culture, understanding team dynamics, and facilitating team decision making and problem solving.

At the same time, understanding when a team is needed and when it is not is often a revelation to educational leaders, who are embedded in highly collaborative cultures. So we often start a session on using teams with a discussion of this topic. The goal is to convey how teams are effective mechanisms for tackling complex tasks that require a diverse set of knowledge and skills, dealing with controversial issues that need the input of multiple perspectives, and sparking creativity (Kossler and Kanaga, 2001; see also Chapter Ten). Straightforward tasks, problems that can be solved by experts, and day-to-day management work typically do not need teams; in fact, using a team approach in these situations might get in the way of productive work.

Building Capacity in Others

A final point is key in understanding leader development from the perspective of educational leaders. Educational leaders' interest in and commitment to leader development is strong when they are able to see a connection between their development and fulfilling their clear desire to build the capacity of others in their schools and organizations—again for the collective purpose of a positive

impact on student learning and achievement. It is not uncommon to have participants say during a session, "I need to take this back and use it with my staff." This applies not only to tools and content, but also to lessons gleaned from various activities and processes. These leaders often report in postsession evaluations, as well as in follow-on action planning, that the value of the session was not only in what they gained in the moment, but in what they were able to share with others following the program as a way of building others' leadership capabilities. This differs from what we experience with CCL participants from other types of organizations. Although some of these individuals express an interest in sharing what they have learned with others back at their work sites, the majority of educators are consistently processing their program experiences and lessons through the capacity-building lens.

EXAMPLES OF DEVELOPMENT PROGRAMS FOR EDUCATIONAL LEADERS

We conclude with two examples of development programs we have designed and run successfully for large groups of educational leaders: the South Carolina School Leadership Executive Institute (SLEI) and the Bryan Leadership Development Initiative (BLDI).

School Leadership Executive Institute

The South Carolina SLEI is a two-year institute for principals implemented by the Office of School Leadership in the South Carolina Department of Education in partnership with CCL and the Moore School of Business at the University of South Carolina. The curriculum focuses on developing participants' skills in three areas: leadership, management, and educational best practices. The program is built on the assumptions that change is inevitable for schools in an era of high-stakes accountability and that the principal is the most important change agent in the education system (South Carolina Department of Education, 2008). The ultimate goal of SLEI is to improve student and school achievement.

Each cohort group has twenty-five to thirty educators from diverse backgrounds and schools. Quarterly, three-day sessions bring the group together to focus on specific topics, including leading change initiatives, building a high-performance culture, influencing others in an effort to ensure student success, leveraging relationships that ultimately affect student learning, and knowledge of

individual strengths and development needs. A wide variety of instructional strategies is used; however, a premium is placed on interactive methods that generate a shared experience among participants (an activity, a case study, or an assessment, for example), which is then debriefed to extract the learning gained from the experience and the application potential of the lessons learned. Participants also receive feedback on several 360-degree feedback instruments (see Chapter Three), get one-on-one coaching (see Chapter Four), and engage in reflective journal writing. Homework assignments are completed online between sessions.

The program began in 2000, and by 2008, twenty-two cohort groups had completed the program. In 2007, CCL partnered with the Office of School Leadership to evaluate the impact of the program on principals and their schools. The evaluation included focus groups and surveys of participants, feedback from teachers and administrators in the participants' schools and from their superintendents, and case studies of two schools where principals achieved a significant turnaround. Three key areas of improvement were most frequently emphasized by the participating principals: the ability to lead change initiatives to improve student achievement, effective use of data to drive instructional improvement and student achievement, and building a culture of high performance with a shared vision and teacher leadership within the school. Teachers, administrators, and superintendents rated SLEI principals highly on a number of competencies, including community collaboration, building consensus, problem solving, creating a culture of ethics, modeling lifelong learning, and navigating the educational system (Center for Creative Leadership, 2008).

Bryan Leadership Development Initiative

The Joseph M. Bryan Foundation and CCL joined with the Guilford County Schools in North Carolina to launch BLDI in 1998. At the time, the school district had ninety-five schools with sixty-five thousand students and eight thousand employees. The focal point of the program was strengthening school-based leadership.

Twenty-one school leadership teams (each with fifteen members) were established; these teams were made up of the principal, teachers, other staff and administrators, parents, and community members. These teams engaged in a five-year leadership development experience, attending ten formal program sessions over time. The curriculum was designed to move the participants from individual leader development, to team development, to leading school

improvement initiatives, to leading in the school system and community. In the first year, participants attended sessions as individuals to focus on personal development. Personality assessments and 360-degree feedback were used to develop self-awareness as leaders; content included an emphasis on leadership values and ethics and on conflict management. During the next four years, teams attended all sessions intact. The school teams also worked with coaches (called transition guides) between sessions to implement what they were learning in the program to their schools. In the final year, the sessions were customized to meet a team's particular needs.

In addition to development for the school-based leadership teams, principals from the seventy-four schools not involved in the team program attended a feedback-intensive leader development program at CCL. The school district's executive cabinet and superintendent also participated in development programs.

Evaluation of the program was built into the design from the beginning. This allowed for ongoing monitoring and refinements to the initiative. Specific outcomes from BLDI varied by school depending on the school team's primary focus for its school improvement efforts: parental involvement, school safety and climate, and academic achievement, or some combination of these three overall district goals. For example, volunteer hours increased in schools that focused on parental involvement, and student attendance and discipline improved in schools that focused on safety and climate. Overall, staff climate and cohesion improved in twenty of the schools. Sixty percent of participating schools met all of their annual progress goals in 2003 compared with 50 percent of schools in the district overall. BLDI had a greater impact in schools in which the principal actively supported the initiative.

Common Features of Programs

These two examples illustrate a number of the common features of our development programs for educational leaders: cohort groups that meet in multiple sessions over time, use of feedback-intensive methods early in the process to help participants gain a foundation of self-awareness, processes that support the transfer and application of learning back to the school setting, and evaluation of impact. The examples also illustrate how development programs for educational leaders can vary in terms of target population, the purposes the programs serve within the educational system that sponsors it, and the specific content focus of the programs. One important lesson that we have learned is that

these types of intensive development programs for educational leaders require close collaboration among program providers, funders, school systems, and the participants themselves. Without such partnerships, development programs that honor the realities of leading in public schools and that are designed to strengthen student learning and achievement are difficult to realize.

CONCLUSION

The unique elements in the public school setting in the United States demand a more customized approach to the development of its leaders. These elements include a cadre of leaders who have pursued a career in education because of their commitment to serving the interest of students and a host of sociopolitical factors that create a high-stakes, multiple-stakeholder, public accountability leadership context. We have worked to make leader development programs available, relevant, and valuable in this context. In doing so, we have learned the importance of articulating how leader development affects student learning and achievement, the need for program facilitators who are education practitioners, the particular skills and capabilities that are critical for success in educational settings, and development strategies and tactics that support skill attainment and application and that equip participants with the means to develop capacity in others. Putting these lessons into practice to develop leaders who influence the countless factors that bear directly on student success is what this work is all about.

chapter SEVEN

Leader Development in Times of Change

Michael Wakefield
Kerry A. Bunker

> Times are tough. The economy is a mess, and we're struggling along with everyone else. Sales are way off, and our stock has plummeted. We really have no choice here! We're cutting back and taking the typical steps for hard times. We've restricted all but critical travel, frozen hiring, and are seriously looking at reducing our workforce. The problem is morale is in the tank. I'm starting to hear that the only reason most people are staying is because they have no place else to go. The ones we have lost were part of the key talent pool we were grooming for the future; and I'm certain there are many others who have their updated résumés posted on the Internet. People seem to doubt and resist every action we take—even the changes we were planning to roll out before the downturn. I'm tired of waiting for them to get with the program so we can fix things. Surely they understand the reasons for doing what we're doing. Why do they have to be so negative and critical? Why don't they trust us?

Sound familiar? Anyone who has tried to help organizations adapt to change in the past twenty years has heard this refrain from more than a few leaders. Although the triggering events may vary (industry

consolidations, macroeconomic turmoil, globalization, poor strategic planning, technology shifts), leaders continue to be vexed about how to guide an organization back to stability from the edge of decline. Sometimes they have direct ways to affect the content and context of the situation; sometimes they and their organizations simply have to ride out the storm.

In this chapter, we focus a development lens on the challenge of leading people through the process of transition, recovery, and revitalization. The necessary skills and perspectives are not easy to learn; they are not taught in business schools and cannot be perfected in the absence of organizational turmoil. Learning to deal with significant organizational change requires actually experiencing the change. Both individuals and the leadership culture must change in parallel in order to respond effectively to the difficult dynamics of turbulent change.

Rocky times raise the bar for development. Organizations cannot afford to ignore the emotional and leadership competencies necessary to help organizations succeed in times of change. When the ultimate organizational goal is survival and revival, authentic leadership practices from trusted people are necessary for the generation of direction, alignment, and commitment. Authentic leadership is critical, but it is difficult to bring out the requisite levels of self-awareness, openness, and vulnerability in leaders who are themselves caught up in an emotional loop that can cycle between fear and paralysis, anger and resistance, and resiliency and recovery.

This chapter explores these issues by looking at the depth of the challenge in leading in the face of change and transition. It reviews the complex emotional dynamics that come with living through repeated waves of change, transition, recovery, and learning. It also explores what it takes to address the challenges, and particularly what that means for leader development work. Intervention strategies in this arena do not fall neatly or cleanly into either the leader or leadership development camps, but rather into a territory between them.

Developing the capacity to lead in the face of change is less about finding a best practice model or crafting the ultimate set of competencies; it is more about helping executives understand, own, and share who they are as both leaders and individuals. It is about cultivating leadership as a way of being rather than a

template for doing. People may struggle to define what they mean by authenticity or authentic leadership, but they know it when they do not feel it! During times of change and transition, leader development must take these dynamics into account; it cannot happen in isolation from turbulence or organizational change.

We begin with the three basic challenges that leaders face in changing times.

THE CONTEXT: CHALLENGES OF LEADING DURING TRANSITION

In the 1950s, 1960s, and 1970s, a psychological contract existed between employer and employee that was voided when companies began to view and use downsizing as part of a strategic initiative. Many leaders have underestimated the emotional and behavioral fallout from pervasive downsizing and related events; many continue to underestimate the erosion of loyalty and commitment that inevitably followed in their wake. Apart from harm to those who have been laid off, trust and confidence waned as the promises attached to these painful strategies failed to live up to the expectations and hype. Indeed, most resizing initiatives have yielded less-than-successful outcomes. For example, when Cascio (2003) investigated more than six thousand reductions-in-force (RIFs) at Standard & Poor's 500 companies between 1982 and 2000, he uncovered no significant evidence to support the notion that RIFs improved financial performance as measured by either return on assets or industry-adjusted return on assets.

One flaw in leaders' thinking that contributed to these failed efforts was the assumption that employees who were fortunate enough to remain gainfully employed after an RIF would respond by being grateful, motivated, and committed. Survival alone, however, is not enough to win back trust. Organizations also miscalculated people's adaptability, assuming that they would get used to constant changes and would fall into line. They have fallen in line to some extent, but with some unintended consequences. Employees have become more calloused and perhaps more cynical and guarded about openly expressing their concerns and fears. But the fear has not really gone away; it has just moved underground. When employees stop feeling support and loyalty from their employers, they stop offering unwavering commitment in return.

Directly and, more important, indirectly, this erosion of engagement challenges the aims of leadership: direction, alignment, and commitment (DAC). The designated defenders of employees (labor organizations) and those with a stake

in the profitability of the organization (investors, funding sources) are generally vocal in expressing their points of view. But the individuals who make up the employee body feel more at risk for their jobs and are more likely to protest in more subtle ways. Often seeming unsafe to express, their concerns fester about the direction being set. Silence in the room often loudly expresses the collective skepticism people are feeling about leadership and strategy: *Do they know what's really happening? Do they have all the facts?* Employees doubt the coordination of knowledge and work. Some of it does seem to be aligned to meet the stated strategy, but some seems highly doubtful. Explanations from on high can be inconsistent or even contradictory. A felt need for self-preservation often overpowers people's willingness to extend their efforts toward the needs of the greater good.

To handle all this, developing leaders must expand their thinking. They must understand the emotional experiences of transition, fear, and learning.

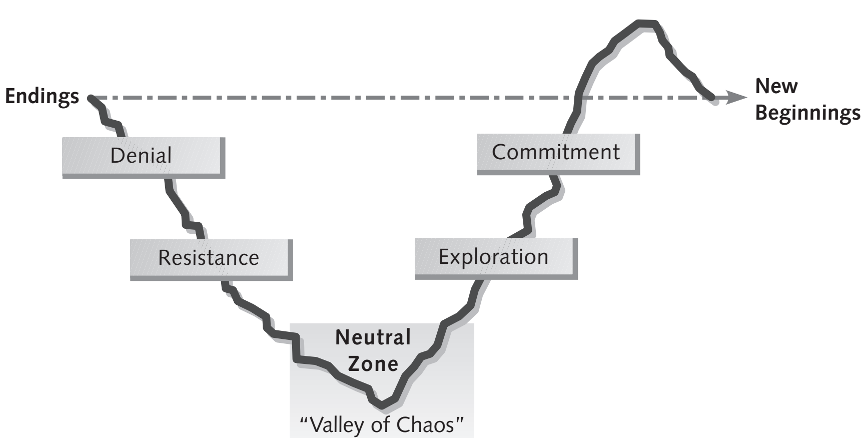
The Challenge of Understanding the Emotional Shape of Transition

Leading others through turbulent times requires understanding how they react to it emotionally. We have heard well-meaning leaders say things like, "Get over it and get on with it—or be gone." This seems to express the misguided belief that people can somehow be scared out of their transitional discomfort. Such tactics simply do not work in the long term. Statements like this promote compliance at best and often drive fear underground and hinder the recovery process. Leaders need to keep in mind that coping with transition is a vital aspect of implementing change.

William Bridges (2001) models the nature and flow of the psychological response to change. In his view, effective transition needs to begin with a sense of ending. Change signals that something that previously had value and seemed to be working has been suddenly altered or stopped. That ending needs to be acknowledged because people must let go of their old ways and, by association, their old selves. And as much as their heads might prefer to slip painlessly and seamlessly into the new circumstance, their hearts typically have a different agenda. Figure 7.1 illustrates the dynamics of the organizational change and transition process with a trough, a valley-like curve. It shows that the path through transition is indirect and painful (Scott and Jaffe, 1995). As we said, an ending of the old sets things in motion. People are necessarily pressured to let go; denial and resistance to change follow.

Working through these rough periods of grieving and letting go can open an exploration of new opportunities and, ultimately, new beginnings that restore equilibrium and gather recommitment to a new established order. Bridges (2001)

Figure 7.1
Phases of Transition



refers to the lower parts of the trough as the *neutral zone,* though quite frankly there is nothing neutral about how anyone feels passing through them. Mary Lynn Pulley (1997), who did the seminal work on learning to be resilient in the face of downsizing and job loss, refers to the transitional dip as the *valley of chaos.* By either name, descending into and out of the trough brings feelings of ambiguity, uncertainty, fear, and self-doubt. New beginnings may demand the trip, but the journey is never pleasant.

Progress takes both effort and patience, and people can get stuck at various places along the way. For example, some people can be so invested in what was and so fearful of exploring the unknown that they have trouble moving beyond denial. Others may quickly recognize and accept the inevitability of the change, but unconsciously become disruptive by holding on to the old ways and throwing roadblocks in front of the new. It can be hard to sort out responses to change, because everyone brings his or her own unique makeup and life history into each new change and transition. But leaders must do so in order to move the organization forward during a difficult time, guiding people through their own phases of transition.

The Challenge of Fear

Moving an organization through a transition requires understanding the impact of fear on the workforce. In contemporary society in general, and in organizations in particular, acknowledging fear is frequently taboo. Left unacknowledged or

denied, fear leaks out into the organization in the form of resistance. Some express their discomfort through silence and withdrawal, some through passive-aggressive stubbornness, some through open hostility and anger, and still others through a false sense of bravado. When people in leadership positions attempt to deny or downplay their own reactions to change and criticize the reactions of others, they are only masking and denigrating what occurs quite naturally and innately in all human beings. Organizations celebrate and reward fearlessness, but in doing so, they suppress (or even punish people for) vulnerable stages in the learning and adaptation process. Are organizations inevitably and forever hostage to reactions to change? Of course not. But leaders do need to manifest the emotional intelligence and maturity to relate to fear if they hope to succeed in helping themselves and others through the complexity of organizational change. Emotional intelligence and authenticity are key to dealing with fear.

Fear magnifies existing insecurities and has the potential to create demons even where none exist. Heightened fear limits risk taking and trust. In his book *Social Intelligence,* Daniel Goleman (2006) explains how "mirror neurons" in our brain are sensitive enough to discern and reflect back the emotions of others. On one hand, this is positive because it is through this emotional pathway that humans can experience and express genuine empathy with others. On the other hand, when people are already in a vulnerable state and they encounter others who are expressing feelings of fear or insecurity, they may suddenly fall into a pattern of subliminal resonance that reinforces and heightens their own worries and concerns. The individual fears of many commingle as an expanding web of negativity that takes on a life of its own. A major challenge of leading in the face of change lies in understanding and responding effectively to this complex human dynamic. Abandoning or chastising employees when they are working through the process of fear and grieving only heightens the probability that recovery will stall out at a dysfunctional level. The greatest danger lies in allowing a transitioning workforce to cope with this emotional process in isolation. Leaders who can connect, empathize, support, and model adaptive behavior can often shorten the cycle time of recovery and reengagement.

The Challenge to Learn

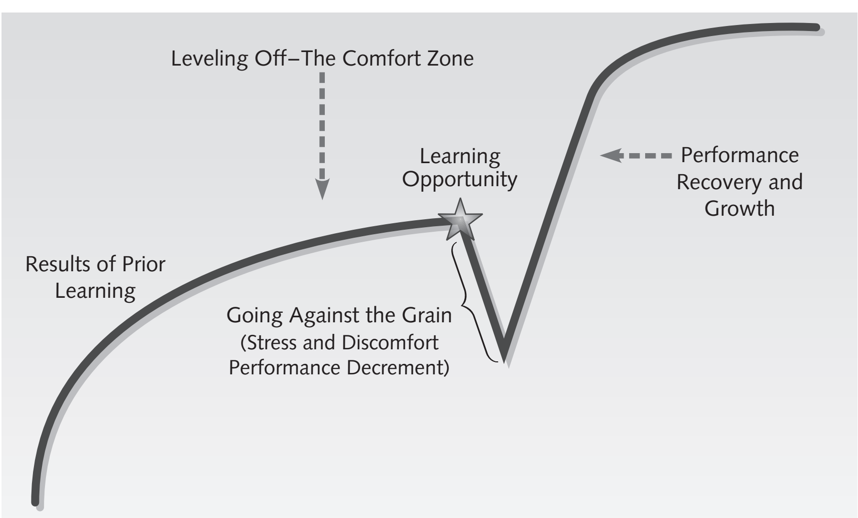
The good news about living through significant change is that doing so often provides sufficient challenge to trigger needed learning and growth. Change provides both the motivation to behave differently and the opportunity to try new skills.

Of course, growth and learning are not guaranteed. Change events can provide powerful opportunities to learn, but only if all the ingredients of development are blended into the experience in sufficient amounts, at appropriate times, and with genuine compassion and sensitivity. The power of the challenge is wasted if goals lie beyond reach or if leaders fail to accurately assess where people are in terms of their emotional reaction and their capacity for undertaking new learning. Success can also be undermined by a failure to offer timely and authentic support along the way.

Riding the troughs of change and transition requires leaders to both accept the emotional implications of powerful learning and develop an ability to learn across an expanding and unpredictable set of challenging circumstances. The downward fall of the transition curve produces struggles because past successes bred an earlier way of being. Success and mastery in earlier experiences has reinforced strategies and second-nature patterns of behavior that are now difficult to cast aside. These old approaches and habits are often ill suited to the evolving complexity that accompanies changes in our lives. Life does not stand still. Each new opportunity, crisis, or expansion in our work and nonwork tests our underlying assumptions and gives us an opportunity to examine and rethink our mental models for successful behavior. Yet the prospect of going against the grain of preferred responses can trigger fears of loss and failure, which may cause us to deny the new circumstance entirely or cling even harder to approaches that no longer work. There are stages in each new wave of the learning cycle at which it simply feels easier and safer to deny or reject the emerging demands of change than to accept the risks of trying something new.

Figure 7.2 is part of a quick review of the dynamics of a learning experience. It incorporates a typical learning curve (Bunker and Webb, 1992), showing how the ability to perform well develops. Confidence grows with learning and competence. Over time, mastery increases, and learners eventually enter a stage where learning levels off. Then established behavior patterns may start to lose effectiveness as the demands of the situation change or the environment grows more complex. Often an external force is altering the organizational landscape. Even when unfolding change appears to promise long-term improvement, the simple fact that it requires a shift in preferred response patterns usually triggers discomfort and raises the risk of being less effective. Indeed, going against the grain of established behavior generally leads to at least a short-term decrement in performance.

Figure 7.2
Dynamics of a Learning Experience



Source: Adapted from Bunker and Webb (1992).

Letting go of established patterns is difficult because initial attempts to try out new behaviors are almost always less elegant and less successful than responding in the old way. People balk at entering into a learning mode when they sense a likelihood that doing so may leave them looking bad or feeling vulnerable in front of others. Ironically, developing the capacity to be vulnerable in the face of these risks is a key not only to learning how to learn but also learning how to lead.

WHAT IT TAKES TO LEAD EFFECTIVELY DURING A TRANSITION

Leading effectively during transition requires four general things: maintaining trust, understanding the emotional side, meeting people where they are, and accepting vulnerability.

The Pivotal Role of Trust

Most people share the common sense that trust plays a significant role in leadership effectiveness, and research findings generally agree (Mayer and Davis, 1999; Mishra, 1996; Mishra and Morrissey, 1990; Mishra and Spreitzer, 1998). Findings suggest that higher levels of trust

- Yield higher levels of performance, commitment, and morale
- Improve communications, predictability, dependability, and confidence
- Reduce friction and turnover
- Lower transaction costs
- Are instrumental in overcoming resistance to change
- Are empirically linked to profits

These points show up in training programs, coaching sessions, and focused interviews.

The form of trust most often considered in organizational settings is interpersonal trust. At heart, interpersonal trust functions to reduce complexity in decision processes and social relationships. A significant emotional component of this is the willingness of a person to be vulnerable to the actions of another, based at least in part on the expectation that the other party can be trusted to perform a particular action regardless of whether he or she is being monitored. In times of threat, employees want to grant that level of trust to leadership. They would like nothing more than to discover that their leaders are competent (know what they are doing), acting with integrity (they are open and honest), and concerned for their employees (they have employees' best interests at heart). Of course an individual leader must earn trust over time. And trust is fleeting. As Benjamin Franklin said, "Trust is earned by the penny, but spent by the dollar." Employees ask, "What have you done for me lately to earn my trust?" And they vividly recall questionable leadership acts in the past, bring them forward, and relive them in the moment.

There is also a situational component. People may be willing to trust the leaders on issues of lesser consequence, but the ante goes up when job security is placed on the table. The times when an organization could benefit most from unwavering trust are precisely the times when trust comes under greatest scrutiny. In turbulent times, talent is watching through fearful eyes and making meaning that will be stored in long-lasting memories.

Especially in hard times, the very outcomes of leadership (direction, alignment, and commitment) are constantly judged and processed through an authenticity filter. Perceived imperfections are illuminated and magnified. People begin to question the direction (How did the organization get in such trouble?), the alignment (How can the organization expect us to produce with fewer resources?),

and the commitment (What is the organization doing to earn my trust and confidence?).

Understanding the Emotional Side

We encounter many leaders who have gleaned a working knowledge of change theory from experience. Organizations have become more adept at the mechanics of implementing change, but they still struggle to understand and respond effectively to the human and emotional side effects. Leaders have a tendency to overfocus on direction and alignment, to the detriment of gaining and maintaining commitment. Of course, they are contractually beholden to the organization that pays their salary. However, in order to meet the expectations of the organization, they must engage the commitment of employees. This is not a case of either-or but rather a demand for both-and. The very forces that cause employees to overscrutinize leaders are the same forces that divert leaders' attention from what it takes to earn commitment.

Ironically, unusual scrutiny by employees is an opportunity for leaders to earn the precious commodity of trust at a faster rate than usual (perhaps a nickel at a time). One principle in particular jumps out of a review of the literature on developing trust: you must give it to get it. This suggests that leaders will have scant hope of engendering vulnerability and trust in others if they do not model it themselves. But most leaders operate on a mental model of leadership that does not include vulnerability. They are more likely to be overly invested in maintaining an image of self-reliance and self-confidence (unflappable, stiff upper lip, never let them see you sweat) that undermines the very thing they are struggling to accomplish: establishing and maintaining the trust that will allow them to create and maintain commitment.

There is no emotional silver bullet for building or rebuilding trust to help an organization through difficult times. A critical mass of those who are perceived as leaders in an organization must earn it. Those at the top and those having the largest spans of control are perhaps best positioned to model the appropriate behaviors and attitudes. But most employees look first to their direct managers or those situated one or two levels above. A key to building a workforce that is resilient enough to recover and bounce back in the face of constant change and adversity lies in the ability of leadership to understand and commit to working through the emotional dynamics of transition and connect with people in ways that simultaneously challenge and support them as they attempt to learn their way through.

Meeting People Where They Are

The key we just mentioned both requires and develops trust in the culture. Also, it requires both leading people somewhere new and meeting them where they are. At any time, many people are likely not as far along as leadership hoped they would be. Granting trust and respect in these moments helps people to hang in and even learn for the future. A workplace that offers a healthy and dynamic balance between challenge and support provides the best climate for enhancing learning and cultivating resiliency. The key to success lies not in the mechanical application of best practice in change management, but rather in the admittedly difficult authentic expression of change leadership where people can actually see it.

Support from a trusted leader is particularly vital when people are struggling to adapt to new and threatening circumstances. It behooves the change leader to understand how transition plays out for subordinates and to accept that as an element of the change leadership challenge. To deny the human need to journey through the valley of chaos or to demand that people simply not go there serves only to lengthen the recovery time and heighten the risk of derailing the entire initiative. Part of meeting people where they are during transition is having and showing empathy with them. Leaders can do this more easily if they have learned to leverage their own personal experiences of trouble. This aspect of leader development is better addressed experientially than intellectually. A conceptual or theoretical understanding of the grieving cycle is insufficient to shape and guide leadership behavior during times of significant change. Intellectual awareness does not buy much in the way of authentic credibility when people are under pressure and stress. As one human resource vice president put it, "I don't want my CEO to understand emotions; I want him to have some!"

What works is for leaders to demonstrate an authentic appreciation for the ebb and flow of emotional transition and how it unnerves the people around them. A savvy and empathetic boss who is in touch with his or her own internal reactions to ongoing change can more easily reach out to others and offer the supportive guidance and motivating inspiration that will help promote and reinforce progress throughout the journey.

The Paradoxical Power of Vulnerability

Powerful learning challenges can expose a soft underbelly. Opting in to emerging change generally involves signing on for a ride through the learning decrement dip. As the trough in Figure 7.1 suggests, this can be a period of uncertainty, risk, a need to let go, and vulnerability. The upside of vulnerability is that it signals

entry into a new readiness stage of self-awareness, openness, and acceptance of a need to grow. Performance may decline initially, but short-term ineffectiveness is only a step toward greater potential. To be effective in the long term is to be vulnerable, flexible, and open to new experiences and new learning.

Research at CCL (Bunker and Webb, 1992) and elsewhere (Woller, 2008) confirms that more successful managers are better at drawing important lessons from the challenges they face, there is pattern to their learning efforts, they adopt a learning attitude, and they work hard at being learners as well as leaders. However, simply knowing that ability to learn is an important core competency does not eliminate the need to accept the risks of vulnerability. And accepting the risk of a dip in performance in an effort to, say, improve one's amateur golf swing is difficult enough; even more difficult is exposing one's vulnerability in a professional career setting. Entering the performance dip in response to changes in the work environment can open oneself to the fear of being viewed as incompetent or disposable, or both, at the very time when everyone's behavior is under the microscope.

Senior management needs to play a central role in overriding such fears throughout the organization. This means modeling the vulnerability and resiliency required to endure the short-term dip, with a view toward building long-term learning and capacity. It also means visibly committing oneself to creating a safe and supportive environment for others to do the same. Learning readiness can be created if people perceive that it is being modeled, encouraged, and supported rather than mandated, forced, and measured. When people feel they are being shoved into the fray by a demanding and insensitive boss or whiplashed into action by an ill-conceived and hurried change initiative, the risks of venturing into the learning dip are magnified greatly.

If a challenging and provocative change agenda is supported with guidance and understanding, the combination can do more than help people recover from endings; it can help them learn to thrive in the face of future challenges. Leading people through a challenging learning experience builds character and resiliency. And as Diane Coutu writes, "More than education, more than experience, more than training, a person's level of resilience will determine who succeeds and who fails. That's true in the cancer ward, it's true in the Olympics, and it's true in the boardroom" (1998, p. 4).

Character and resiliency build the confidence to take on new challenges, which opens the door to new experiences and creates greater readiness for inviting

new learning opportunities. And the cycle repeats itself—the essence of human growth and adaptation.

DEVELOPING AUTHENTIC CHANGE LEADERSHIP

The leadership tasks of setting direction, creating alignment, and gaining commitment need constant attention. Crafting a compelling vision (direction), setting organizational strategy (alignment), and influencing the workforce to accomplish objectives and helping them make meaning of the constant changes (commitment) are essential. This section presents several tools for developing the authenticity of leaders in times of change. One we call the Authentic Leadership Paradox Wheel; another is a program to deepen executives' practical experience in this area; and we describe several more.

The Wheel

Our perspective on change has been shaped by experiences since 1994 in developing and implementing leader development interventions for organizations living through periods of dramatic change and transition. The wheel arose out of our first, very deep experience.

Origins of the Wheel In 1994 the federal government of Canada engaged CCL to assist in a restructuring that redefined the nature and scope of public service while also downsizing the employee complement by nearly one-third. This challenge was a powerful catalyst for change in the system, and, like the experiences described in Chapter Two (Learning from Experience), it was a developmental event for many in leadership positions.

The emotional and behavioral fallout from downsizing was immediate and intense; the employee body reacted with cries of, "This is not what I signed on for!" Employees perceived the dramatic changes as fundamental violations of the psychological contract of public service employment. Leaders were caught in the middle with no blueprint to guide them in coping with their own reactions to the changes or responding effectively to the reactions of others.

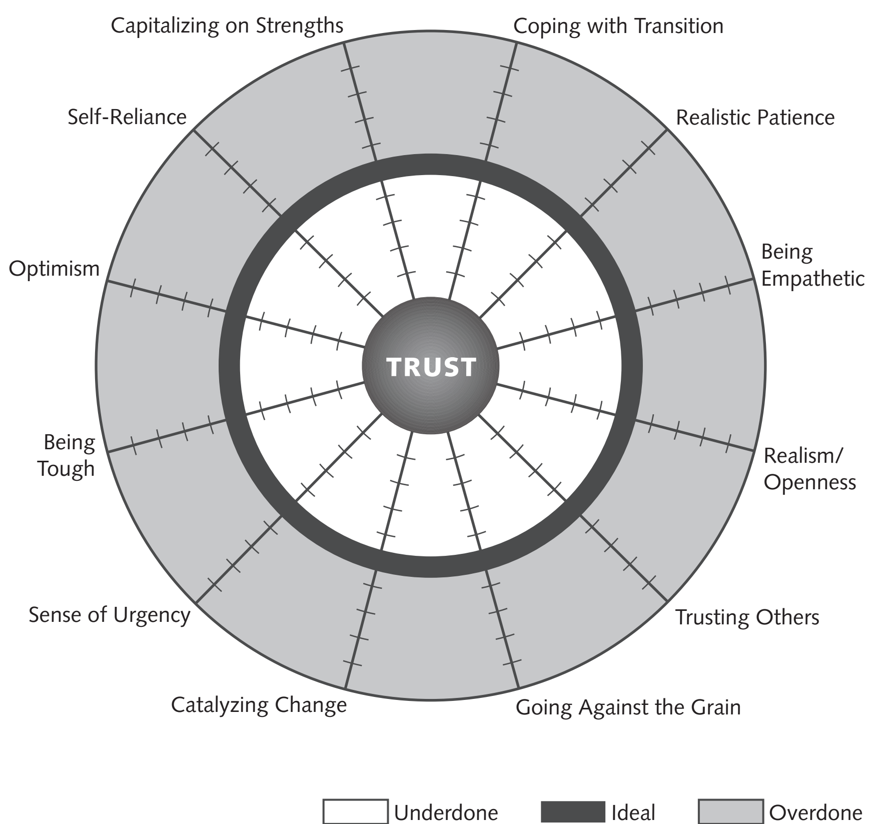
To aid the leaders, CCL partnered with the Canadian Center for Management Development in designing and delivering a powerful leader development experience that was ultimately attended by more than sixteen hundred senior executives from across the government. Our work with this executive population extended over more than five years and deepened our understanding of the essential

ingredients leaders require to guide themselves and others through turbulent times. Approximately sixteen hundred upper-middle to senior-level managers went through an individual leader development program in cohort groups of twenty-five. The net result was a critical mass of trusted leaders who could model resiliency, provide support, and understand the change process cognitively and emotionally. The program gave executives the opportunity to become aware of and to practice authentic leadership in the face of change.

Canadian federal executives were under intense pressure to act with urgency and implement changes that flew in the face of all they held dear about public service. Opportunities for them to express concerns or personal reactions were limited, and no rewards were offered to them for demonstrating the requisite patience and sensitivity needed to surface and validate the fears and angst in the broader employee body. Failing to balance the dynamic tension between seemingly contradictory leadership agendas always disrupts the change process, but the impact of failure was particularly strong in this governmental setting, where significant downsizing was occurring for the first time. Leaders and their teams were stunned and appalled at the reality of losing friends and colleagues to the reductions in force, and all shared a simmering fear that further cuts lay ahead. While the leaders were expected to convey feelings of optimism and acceptance, they were simultaneously at risk of losing credibility if they failed to acknowledge and own up to their own misgivings, as well as the mistakes and false starts from the top.

Listening to their stories, we were struck by how often these leaders used the words *and* or *but* when describing how they were expected to behave. It became clear that they were constantly juggling the balance between behaviors that appeared to conflict with one another (for example, needing to be tough and courageous but also empathetic and compassionate, and modeling self-reliance and optimism while at the same time opening up and trusting others to handle the truth). In response, we developed the Authentic Leadership Paradox Wheel (Bunker and Wakefield, 2005) to help the leaders assess their understanding of trust and their demonstration of trust as well. Shown in Figure 7.3, this tool provides insight into the process of developing trustworthy behaviors. This model reflects the dynamic tension that exists between a dozen competing but equally important attributes of change and transition leadership.

Figure 7.3
Authentic Leadership Paradox Wheel



Source: Bunker and Wakefield (2005). Developed by Kerry Bunker, Center for Creative Leadership.

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Value and Use of the Wheel The wheel is a practical tool for assessing and applying some of the principles of transition leadership described in this chapter. It emerged from the practice of leader development with executives who were struggling to drive change on the one hand while nurturing transition, learning, and recovery on the other. We contend that the skills associated with driving change are more readily accessible to leaders and also more likely to be rewarded by organizations. Developmental gaps are more likely to be exposed in areas such

as emotional intelligence, self-awareness, adaptability, and vulnerability—skill sets that comprise the core of successful transition leadership. In truth, these so-called soft skills are often significantly harder to master and apply.

A hub surrounded by a finely tuned set of interdependent spokes is a useful metaphor for understanding the dynamics at play when leading in the face of change. It demonstrates the critical interplay between the hard and soft skills required to respond successfully, yet to change. The wheel has been used to help provide a cognitive understanding of the change process, provide an assessment of skills and capabilities, and challenge people to develop new skills.

Maintaining the Wheel Cycling enthusiasts know the critical role that wheel maintenance plays in high performance from a bicycle and the quality of the ride. Careful attention must be paid to the tuning of the spokes. When the spokes are adjusted properly—tensions balanced and equalized in all directions—the wheel holds true and rolls smoothly and effortlessly. By contrast, if some spokes loosen from wear or lack of attention (or if some are overzealously tightened), the wheel can slip out-of-round, making the whole bike wobbly and more difficult to steer. Even minor errors of adjustment and tuning can greatly lower the quality of the ride. And absent careful assessment or field testing, the tuning errors may remain subtle, even imperceptible. They make themselves known only when someone hops on the bike and tries to take it for a spin. Even novice riders will notice immediately that something is not quite right, although they probably will not be able to diagnose the problem as a case of poorly tuned spokes. Instead, they are more likely to jump off the bike, declare it a bad one, and look for some other ride. The metaphor fits for the wheel model because we think collectives react similarly to tuning errors in the leadership behaviors of those charged with implementing change.

Note in Figure 7.3 that trust is the hub of the wheel. It is because trust is what is at stake as people form impressions of leadership based on the balance of behaviors expressed on the twelve spokes. Overdoing or underdoing a few of the attributes can raise questions in the minds of others relative to the overall competency, character, and authenticity of a leader.

In the model, a person who is exhibiting an appropriate pattern and level of behavior relative to a given attribute will be perceived as doing it about right, and the resultant score will be plotted directly on the bold, dark circle for that scale. A leader perceived as underdoing would be plotted somewhere inside the bold

circle and toward the hub, depending on the perceived degree of deviation from about right. Similarly, overdoing scores are plotted outside the bold circle and toward the outer edge of the wheel.

In the absence of assessment and support for self-examination, there is a risk that change leaders will not be aware when their leadership spokes are improperly tuned or out of balance. For example, imagine a leader who is heavily invested in convincing his boss that he is implementing a change with the highest level of urgency. The extreme behaviors that he exhibits in an effort to look responsible and action oriented are likely to be perceived by others as relentless and unrealistic, lacking the understanding and patience required in order for other people to cope and keep up. Such a leader would likely be rated as overdoing the sense of urgency, and his score would be plotted toward the outer edge of the wheel. Conversely, a leader who is personally struggling with the challenges may drag his feet on holding others accountable for learning and implementing the new process, thereby allowing them to lapse into behaviors that hinder the change. This might be viewed as underdoing the sense of urgency. In either case, deviation from the degree of urgency deemed appropriate for a given circumstance can have a significant impact on the overall perceptions of the leader's competence or character, or both.

A leader may come by the tendency to overdo or underdo patterns of behavior quite honestly. Consider, for example, a manager who has grown up in a world of constant stimulation, change, and relocation in both her personal life and career. She has evolved into someone quickly bored with the status quo and is always looking for opportunities to leap into something new or different. Rapid change stokes her fire; she is driven by a sense that she must act urgently. It will always be difficult for this person to resist these deeply embedded traits and preferences. Caught up in the excitement of a new adventure, she can be totally oblivious to her ready-fire-aim approach, as well as her relentless and unforgiving driving of others. She charges ahead, leaving angry and bewildered followers floundering in her wake and hopelessly lost in transition. Of course, this is but one example of how a potential strength can be overlearned and inappropriately applied. The wheel provides leaders with a tool for determining their own particular patterns of overdoing and underdoing on the twelve attributes. It has been our experience that exposing and reshaping such patterns requires careful assessment, provocative experiential challenge, and a guided and supportive learning environment—the assessment, challenge, and support model in operation.

The Wheel at Another Level The wheel model takes on another level of complexity when each of the leadership attributes is viewed in context with the others. We hypothesized that attributes located adjacent to one another and on the same side of the wheel are more closely linked and therefore more likely to vary together in directionality and degree. For example, a person who is overdoing Sense of Urgency has a heightened probability of also overdoing Catalyzing Change and Being Tough. Conversely, the pairs located directly opposite of one another on the wheel also tend to covary, but in opposite directions. For example, across the wheel from Sense of Urgency is Realistic Patience. Opposite Being Tough is Being Empathetic. Those who overdo toughness and urgency should exhibit a greater tendency to underdo empathy and patience.

A Program for Practical Experience

One of the most significant hurdles to recovery and revitalization in times of change has been the failure of senior managers to recognize and respond effectively to the emotional fallout from ongoing transition and learning. Powerful development in this domain needs to be experiential rather than conceptual. Leaders need to wade in the water of transition if they hope to remove their masks and develop an authentic appreciation for what it takes to bounce back and learn from wave on wave of constant change.

The centerpiece of our developmental work in this arena has been a five-day experience for relatively senior executives entitled Leading People Through Transition. This has been offered primarily as a custom program tailored for organizations looking to develop a critical mass of authentic leaders to guide them through periods of significant change. The program features a change-based simulation where participants experience a disruption provoking the sense of loss and violation associated with downsizing. The event is realistic and powerful. The participants learn to link their experience in the program with their current work environment. They are given the tools to dissect and understand the cognitive, emotional, and practical experience of change, and they are provided with an opportunity to demonstrate self-awareness, vulnerability, empathy, and trust in an environment that is simultaneously challenging and supportive. For their part, the program facilitators reinforce the learning by staying open and nondefensive in the face of the sometimes strong emotional responses triggered by the activities. They take the journey with the participants, allowing them to express and examine their personal reactions to change. One of their most

important roles is to engage people as colearners by modeling both strength and vulnerability in guiding them through the experience. (See Bunker, 1997; Bunker and Wakefield, 2006; and Bunker, Wakefield, Jaehnigen, and Stefl, 2006, for a detailed review of the precise approach and agenda of this intervention.)

Most of the participants express feelings of being caught in the squeeze between expected roles and behaviors associated with their leadership persona and their own personal emotions and fears. They realize in the program that the internal conflict is often reflected in the wearing of protective masks in the organization. For example, they may try to be superhuman in the face of fatigue and dwindling resources; act positive, upbeat, and optimistic on the outside while feeling frustrated, disenchanted, and impotent on the inside; or ignore the natural pain and loss associated with transition, both in themselves and others.

The fundamental goal of the course is to increase the awareness, readiness, and skills required to deal effectively with these human issues. Participants describe the program as a roller-coaster ride through interactions and interventions that stimulate a full complement of emotions. During the week, it is not unusual to see expressions of frustration, anger, denial, openness, self-exploration, skepticism, rebellion, vulnerability, and, ultimately, a renewed sense of self-assurance. In the end, we aim for individual leader development in the sense of understanding one's unique patterns of response to change, transition, and learning; heightened openness and authenticity among peers who share a common context of change leadership; and a greater capacity to translate lessons learned about vulnerability, trust, and authentic leadership back to the work environment. We challenge the leaders to explore the human side of transition not in the abstract but rather as it is playing out in the lives of those in the room, including the facilitators. The most powerful learning experiences emerge from sharing, processing, and understanding the feelings, thoughts, and behaviors triggered by activities encountered during the week.

This course was designed not as an organizational change intervention or leadership development initiative, but rather as an individual leader development experience. We intended a deep, reflective learning experience for the individual participants that would ultimately influence the total organization by way of their more effective ability to lead self and others through difficult times. We believe that opening the pathway to individual leader growth and learning is a precondition to the relational learning required to reshape the organization through leadership development. However, our custom clients regularly report significant shifts in

the fundamental culture and tone of leadership owing to the mere fact that a critical mass of their leadership has shared this powerful learning experience and now subscribes to a common context and language for understanding the emotional impact of change and transition. In that sense, we see this work sitting squarely at the intersection of leader and leadership development.

Developing the skills of a critical mass essentially creates a culture allowing for vulnerability and emphasizing trust in the system. Different training cohorts have the opportunity to discuss their common experiences and thereby continue to support one another. The common language and experience also offer leaders the opportunity to informally assess and challenge one another during the transition process. Former participants create a community where it is okay to talk about emotion and the challenges of being authentic in the face of difficult change. The alumni community provides ongoing support to all who have shared the experience.

Other Options for Leader Development

The intervention we have outlined has shown the impact of bringing a group of leaders together to explore the emotional side of change and transition. The principles of assessment, challenge, and support are used to promote learning from the experience of change in the organization and in the practice field provided by the program. The organization's ability to leverage critical mass and create community is powerful. Learning that other accomplished people have the same unspoken doubts and blind spots gives leaders permission to admit feelings of their own. A secondary value grows from the cross-functional relationships that are born of sharing such experiences together. The support generated by this type of experience for the individual leader is exceptional.

When training a critical mass is not a possibility, organizations can get traction on the issue by finding a leader within the company who is willing to experiment with her or his staff members. Some organizations have experimented with training a small group to act as role models. Even these tactics are not devoid of risk, however. The training experience will be closely scrutinized for its impact on and potential contribution to the company.

Other possibilities involve using the human resource function as a model of authentic response to change. Human resource practitioners can start by recognizing the dilemmas posed by downsizing and using their own experiences

to guide others. In-house, organizations can use the phases of transition and dynamics of a learning experience to discuss some of the issues. This may create opportunities to transmit some of the modes of transition and learning addressed earlier. The theoretical knowledge is interesting, but enhanced learning and power come with implementation. Leaders will know that they are truly engaging others when conversation ceases to be about unnamed others and turns to revelations about oneself.

A related strategy is to openly pursue feedback from others about how the paradoxes of authentic leadership are handled during transitions. Our bias is to do this in writing with a 360-degree tool. Leaders should gather information from superiors (boss and others), peers, and direct reports. The very act of seeking feedback communicates that leaders are serious about examining their impact during challenging times. It also begins to invite others to reflect on themselves as they are completing their ratings. Managers should be encouraged to reveal some of what they are learning from the feedback experience with those who provided the input. Sharing both the good news and the bad provides a unique opportunity to model the genuineness that is so critical to engaging others during transitions. This demonstration of vulnerability stimulates more trust and invites others to take similar risks. While sharing data from the feedback, managers should also seize the opportunity to contract with others for more ongoing feedback and to thank those who invested time and energy in offering input.

Another avenue for significant input is executive coaching. Bunker (2006) offers a comprehensive framework and guide for coaching leaders through change and transition. When limited to one-on-one coaching interventions, our experience suggests the use of a more robust process that includes verbatim interviews with significant people around the leader. This might include customers, past bosses, and even family members. We also recommend the use of tools that expose psychological tendencies that are part of a leader's behavior patterns. There are many to choose from. Once all of the materials are assembled, have the leader sit with an experienced executive coach to review them in detail. As an outcome of this insight session, the leader and coach need to craft a development plan that will guide any changes in the executive's behavior with others. A common reason leaders fail to pay attention to such assessment data lies in the fact that their mental models of leadership have conditioned them to honor management perspectives more than those of leadership. It is also difficult to attend to new perspectives in

the midst of the intense accountability for short-term results. Ongoing coaching helps busy executives remain focused on doing the work required to implement their development plans.

The impact of individual development efforts can often be deepened by creating learning or support groups where leaders can process issues with their peers. The next level of enrichment to the executive feedback and coaching option is to bring together a collection of executives who have experienced the insight and coaching. By having them come together and share their experiences, they begin to have some of the same benefits as a group training session. Again, the emphasis needs to be on the authentic engagement and sharing of experience, not on finding others to blame for how they are feeling.

Although such activities can be very helpful, they obviously do not have the broad impact of a critical mass intervention. But we believe that some action is better than none, and if it is done well, it can ignite the potential for a more comprehensive intervention in the future. Some of our most successful interventions started out much smaller.

CONCLUSION

It should be clear that common threads run through our models of transition, coping, and learning. Each contributes to understanding what it takes to lead effectively in the face of constant change. First, all of these processes yield emotional consequences because they call into question whether current behaviors, attitudes, and practices are appropriate to meet the needs of a changing environment. Second, all of the models predict that people will experience feelings of loss, letting go, and grieving and that they will need to work through a period of discomfort and recovery before arriving at a more effective destination. Third, each model is clear in predicting at least a short-term dip in change-related performance and self-confidence as the old ways are phased out and new behaviors, new attitudes, and new learning are mastered.

Following are some of the essential themes and provocative questions for driving the change leadership discussion:

- *Emotional leadership matters.* The best-laid plans for organizational and structural change can be undermined by a failure to exert strong leadership

around the softer people side of recovery and revitalization. Meeting people where they are often means going back to pick them up in the valley of chaos, where they are still coping with the impact of change on their self-esteem and their fear of not being valued in the changing environment. The willingness to simply be present and listen with a knowing and empathetic ear is often enough to generate trust.

• *There is amazing power in vulnerability.* Personal vulnerability opens the door to being genuine, human, and authentic with others, but the truth is that most leaders wear protective masks that they do not remove easily or lightly. It is as if they have been taught to hide or disguise any signs of fear, frustration, or personal pain lest it leak out and somehow undermine their credibility as a leader of others. However, our experience and research suggest that such masking actually tends to have precisely the opposite impact: those who deny valid concerns or pretend to fly above it all run the risk of being labeled as out of touch, clueless, cold and heartless, and disingenuous. As with many other elements of the change leadership equation, the truth resides somewhere in the middle. Leaders who are able to couple an awareness and ownership of personal emotions and feelings with the self-confidence to model the recovery process will experience greater success in bringing others along to a healthier and more productive place.

• *Look inside first.* Most leaders have not learned how to guide themselves through the emotional minefields of challenging transitions and therefore feel ill equipped to help others. Their trepidation is well founded in the sense that it is difficult to offer genuine compassion and empathy for the fears and concerns expressed by others if they have never reflected on, accepted, and come to grips with their own.

• *Readiness can be created.* Openness and readiness always represent the core of success in the learning process. People learn most when they have to and at times when they really want to. We start with the premise that leaders are more open to learning about the human side of transition when they are experiencing the emotional consequences firsthand (both their own and others) and there is a balance of challenge, responsibility, payoff, and safety that enables them to surface and process what is happening in the moment. The overarching goal is to develop more authentic leaders by guiding them through powerful reflective and interactive experiences that penetrate the veneer of intellectual understanding and foster a deeper personal capacity for genuine connection with others.

- *Critical mass is key.* Leading others through change and transition is neither a training need nor a command performance. People work through the challenges of transition on a schedule largely determined by their own personality, experience, and current state of mind. They grieve and move forward most effectively when their feelings and emotional reactions have been validated and their need to work through the recovery process is supported by the organization and its leaders. At a minimum, they need to feel empathy and understanding from those at the top, coupled with more direct involvement and support from those closest to their immediate circumstance. In our experience, not much happens until there is a critical mass of leaders who are willing and able to energize the revitalization process by becoming personally involved. In addition, attempting to leap immediately into an employee engagement or culture change initiative without first (or at least simultaneously) addressing the individual leader development issues, is usually a recipe for failure!

chapter
EIGHT

Democratizing Leader Development

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The field of leadership development does little for most of the world's people. The vast majority are young, live in rural areas and densely populated cities in developing countries, have had limited access to school education, do not work in formal organizations, and survive on less than two dollars a day. Obviously leadership skills are relevant to these populations; all humans aspire to create better lives for their families and their communities, particularly in the face of poverty, hunger, oppression, and conflict. Individual well-being depends on the ability to adapt to changing circumstances, motivate and influence others, and secure income.

But is the practice of leadership development relevant to them? Can leadership development professionals materially improve the human condition? Imagine our world if leadership development professionals could offer leadership development at all levels of society and not just to elite populations able to afford formal training programs. Might there be fewer wars? Less hunger and disease? Might more people recognize their talents and potential? Could we solve problems more creatively?

Could we better leverage our diversity? We think the answer to all these questions is a resounding yes.

Consider a rural town in central Uganda where we conducted a leader development workshop in 2007. At its conclusion, an individual who had formerly been part of a violent guerrilla organization shared his poignant perspective on the potential of leader development:

> This training is very important. And you need to understand why we say to you, "You need to come back. You hear us saying, come back soon." And it's for a reason. Where you come from, this leadership training may result in better management and better business practices. But here, here in Uganda, this teaching has the potential to save lives. This region, these governments have been at war for many years. If they heard today what you were teaching us, I believe we could end many of these conflicts. We could see an end to these wars.

This statement reflects a broader vision of the role that formal leader development can play in our world. We believe that the greater potential of billions of people ultimately can be unlocked through increased access to leadership development and that this will create significant social and economic benefit. Our view of the transformational potential of leader development to address the great ills in our world may seem lofty, but we believe it is well founded in theory and in practice.

Our perspective is also consistent with the line of reasoning of an icon of corporate entrepreneurship, Bill Gates. Founder and past CEO of Microsoft Corporation, Gates advocates for creative capitalism, which aspires to reaching more markets that benefit both companies and consumers. He is especially interested in reaching the billions of people who have low socioeconomic status (Gates, 2008). Gates poses the question, "How can we most effectively spread the benefits of capitalism and the huge improvements in quality of life it can provide to people who have been left out?" He notes that despite having about $5 trillion in purchasing power, the poorest two-thirds of the world's population are mostly ignored by corporations. From the capitalist perspective, ignoring over two-thirds of the world's population should be seen as a missed opportunity to generate revenue, develop goods and services that improve the human condition, and engage billions of people in productive and meaningful activities.

It is also a missed opportunity for formal leader development programs. To date, they have been readily available to the world's elite: senior business and government leaders, individuals who have been identified as high-potential employees, and people from the highest economic strata with the means to invest in formal developmental experiences. Indeed, leader development programs are a benefit that managers and executives in North America and Europe have come to expect as part of the employment compact. Many organizations see formal leader development as an essential employee benefit and means to improving individual and team performance. In developing countries, however, we find a considerable gap between the eagerness and hunger for formal development among employees and the resources available to meet these needs.

DEFINING DEMOCRATIZATION

In this chapter, we focus on what we call the democratization of leader development. In political science, democratization usually refers to the act of making something democratic, particularly processes that countries use to select leaders. Typically this means holding fair, competitive, and transparent elections; ensuring civil liberties and human rights; and respecting laws, regulations, and policies. As applied to formal leader development, we suggest that democratization is an inclusive process to reach leaders from all walks of society rather than just at the top of the socioeconomic pyramid or in the corporate sector where high fees can be garnered. Just as Bill Gates has focused on those left out of capitalism, we believe that it is important to focus on those left out of formal development opportunities. Thus, democratization of leader development applies to two key groups: people who cannot afford mainstream leadership development interventions (many in the developing world and people from lower socioeconomic strata) and people who are not in formal leadership positions in organizations (the self-employed, entrepreneurs, underemployed, or unemployed).

In this book, the term *leadership development* is used to encompass the development of both individual leaders and collective leadership. We believe this is appropriate in the context of democratizing leader development. Individuals and collectives worldwide—local organizations, communities, small businesses, and work teams, for example—can benefit from affordable and scalable leadership development experiences. In our work, however, we decided to

focus initially on developing individuals, thinking that working initially at the collective level would delay the experimentation and rapid prototyping necessary to test basic assumptions about the relevance of democratization. But ultimately democratizing leadership development requires going beyond working with individual traditional leaders to increasing the collective leadership capacity of groups and organizations in community and nongovernmental organization (NGO) settings worldwide.

BARRIERS TO DEMOCRATIZATION

Pursuing democratization requires extending both traditional mental models of leadership and the business models currently used by formal leadership development organizations. Currently mental models of leadership and business models of leadership development organizations present barriers to achieving democratization.

Traditional Mental Models of Leadership

The first barrier is the prevailing mind-sets people hold of who is a leader and what constitutes leadership. The world over, leadership is typically associated with power, position, hierarchy, and perceived ability. People in both the developing world and the world of Fortune 500 multinational corporations tend to see leadership as the exclusive bailiwick of people in formal leadership roles—people we call leaders. It is still a relatively new idea that leader development could or should be democratized, not only to the audiences that have been underserved in the knowledge economies of the West (youth, teachers, and individual contributors in all kinds of organizations), but to these same kinds of people in the developing world.

Particularly in the West, some may wonder why it makes sense to spend any resources at all on developing the leadership capabilities of people who have little or no formal authority. Yet our experiences in the developing world and with underserved populations in the West lead us to believe that a great deal can be gained through efforts to develop the leadership capabilities of a broad spectrum of people. As with any other bold idea, the implementation of leader development democratization can (or must) disrupt existing ways of understanding best practice in our field and also disrupt the existing business models of leadership development providers.

Leadership Development Business Models

The second barrier to democratization is grounded in prevailing business models around the cost of leadership development. Formal leader development interventions are now primarily delivered by business schools and for-profit training organizations under the rubric of executive education. Decades of research and practice in the West have led us to develop methodologies and training tools without major concern for cost. Assessment, challenge, and support (ACS) have been achieved through large-scale simulations, high-end and often customizable 360-degree assessments, and programs dependent on a bevy of highly trained staff or high-priced and well-known expert speakers. Because many of our best leadership development organizations (including the Center for Creative Leadership [CCL]) pay careful attention to annual rankings completed by highly regarded publications such as the *Financial Times* and *Business Week,* our collective approaches to leadership development favor exclusivity over affordability, access, and democratization.

Scaling as a Means of Change

We believe the time for change has arrived. In this chapter, we present ways in which leader development can be scaled to be more affordable and accessible. The chapter tells what led us to insights into why formal leader development should be scaled and how it can be scaled to touch more lives. It also provides a framework for how leader development can be democratized, as well as several case examples of how this work has been applied so far in different parts of the world.

THREE INFLUENTIAL FRAMEWORKS

Three conceptual frameworks have influenced our approach to democratizing leader development. Two of these are CCL models of leadership and leadership development, and one has been popularized by C. K. Prahalad (2006a, 2006b) and others on viable and sustainable business models for the poor. In combining these three sets of ideas, we have found what we believe is a promising approach to making high-impact leader development available to a broad segment of the world.

Assessment, Challenge, and Support

CCL's ACS framework is at the heart of our process in this work to democratize leader development, as it has been in our work with corporate executives.

Assessment provides formal and informal data that help increase understanding of oneself and others, challenge identifies the growth experiences that lead to development, and support provides the means and assistance to achieve milestones along the developmental journey. We assume that people all over the world, living and working in all circumstances and contexts, need leader development opportunities that are rich in assessment, appropriately challenging, and balanced with reasonable support. While these may take different forms in the developing world, we believe they are essential, and nothing we have found to date gives evidence to the contrary.

Direction, Alignment, and Commitment

Over the years, CCL's perspectives on leadership have expanded from an exclusive focus on individuals in leader roles to a focus that also includes the role of collectives in enacting leadership. As part of this expansion, we have found it useful to think of leadership as the accomplishment of three tasks that CCL calls the DAC framework: setting direction, creating alignment, and building and maintaining commitment. This expansion allows us to think about leadership as something broader than the actions and behaviors of individuals in formal leadership roles. By extension, then, leader development focuses on increasing the capacity of any individual to contribute to a collective's direction, alignment, and commitment. The DAC framework suggests that leadership does not exist without these components:

- A shared understanding of where the collective is headed with respect to its vision, goals, and objectives (direction)
- Effective communication, coordination, and collaboration within the collective (alignment)
- Individuals pursuing collective goals over and above individual goals (commitment)

In our conversations about leadership with people in the developing world, we used the DAC lens to help people explore their own mental models. Interestingly, as we have expanded our work to different populations in different parts of the world, all too commonly we found a belief that leadership is a trait that resides within the person in charge (Avolio, 2005). Many of our workshop participants from grassroots organizations argue that leadership is a hard-wired dimension of personality: some people are born with the gift of leadership, and others are not.

In these settings, our use of the DAC framework helps to facilitate understanding about the important roles that all individuals, groups, and organizations play in producing leadership outcomes. This often has the impact of inspiring people to see themselves in new ways and discover their own leader within (Lee and King, 2001).

In many of the countries we visited, we also found that people associated the word *leadership* with hierarchy, authority, and political power, and often the connotations of leadership were negative. For example, on a trip to Prague in the Czech Republic, an affable and lively woman clammed up and grew fearful when we said we were there to talk with her about leadership. On her mind were fears of the secret police and getting into trouble for what she said. In subsequent conversations, we deliberately left the word *leadership* out of the conversation and talked instead about the tasks, characteristics, and outcomes of leadership, such as having a common sense of direction, working together, and being committed to outcomes important to individuals and groups. When we approached conversations from this perspective, we found strong agreement about the importance and relevance of what we initially framed as leadership. Just as we used DAC to help corporate executives think more broadly about the impact of developing employees at the very base of their organizational structures, we found the DAC framework useful in helping us think more expansively and communicate more effectively about leader and leadership development in a variety of other cultures and contexts.

Alternative Business Models for the Poor

Finding interested people is not a key issue in democratizing leader development: plenty of people would like to be consumers of formal leader development opportunities. The problem is figuring out how to create models that reach hundreds of millions of people versus the hundreds of thousands who are reached through our usual ways of developing leaders. We believe the answer lies less in creating new products and more in adapting existing products to make them affordable and accessible (Anderson and Markides, 2007). As we mentioned earlier, a key challenge for organizations like CCL is harnessing our own motivation to create DAC to working with a new business model—doing what it takes to step into a new way of doing, not so much leader development itself as the business of leadership development. Once a few groups adopt a viable new way of doing business in leadership development—just as in banking,

mobile technology, or consumer goods—other groups will follow (Prahalad, 2006a, 2006b; Seelos and Mair, 2007).

We have been inspired by work that has already been done to demonstrate viable and sustainable business models for the poor. C. K. Prahalad (2006a), one of the world's leading thinkers on the benefits of working at the "bottom of the socioeconomic pyramid," argued that the challenges are mostly driven by lack of imagination and commitment to new ways of operating:

> Why do multinational corporations find it hard to embrace these approaches? The answer may lie in the dominant logic of successful companies: the business practices that have been successful in the past, the mind-set tied to those old practices, the internal evaluation systems that reinforce this mind-set, and the daunting problem of lack of experience in the new way of operating. The zone of comfort drives away the zone of opportunity. If managers believe that 80 percent of humanity is "too poor to pay for our products and services and is not part of our target market," then a new offering at one-fiftieth the price of the current offering, made without sacrificing quality and at the same time ensuring the company's profitability, looks at first glance like an impossible task. So those managers assume that the idea will be impossible; instead, they make minor changes to existing products and business models, start endeavors that often fail, and conclude from those failures that success was indeed impossible [p. 10].

To be successful in reaching these new consumers, Prahalad outlined four preconditions:

- The underlying business models, including technology, pricing, work flow, and distribution, need to be tailored to the context rather than just being imported from high-end markets.
- The only way to understand nontraditional markets enough to develop appropriate products is to commit to deep immersions. Traditional methods such as market research and secondary data analysis will not provide the deep insights needed.
- While opportunities to serve these markets abound, the requirements associated with scalability and affordability require an acceptance of constraints in product design; adding bells and whistles is generally not possible.

- The underlying mission or strategic intent of the work, serving the bottom of the socioeconomic pyramid, must be a prime motivator for leadership teams. Because the challenges are immense, the absence of DAC around the strategy will likely lead to failure.

The work of Muhammad Yunus (2003) provides a good example of this type of innovative thinking in practice. In 1974, Yunus was an economics professor in Bangladesh, which at the time was experiencing another famine. The problem was so devastating that he wondered whether he could help in any meaningful way. One day Yunus visited a village near the university where he was teaching to learn more about what he could do to help the villagers cope with hunger. He discovered that the forty-two women in the village wanted a total of twenty-seven dollars to start small businesses so that they could take care of their families in a more sustainable way. Yunus took twenty-seven dollars out of his own wallet and funded the women to establish microenterprises.

This small investment had astounding and unexpected ripple effects. Indeed, it was the impetus for what turned into a microfinance movement of global proportions. To date, Grameen Bank has made about $10 billion in loans to over seven million borrowers, almost all women. The loan recovery rate is over 98 percent, which is higher than institutions that lend to higher-income clients. With twenty-four hundred branches, Grameen Bank provides services in seventy-seven thousand villages, nearly all of them in Bangladesh. All of this was started by an economics professor who felt helpless in fighting hunger and poverty and decided to take a small action: giving twenty-seven dollars from his own pocket to help forty-two people start their own businesses. To Yunus, mainstream banks appeared to provide charitable giving to the well-to-do, while Grameen Bank funded poor people to be entrepreneurs. This work has had such a powerful impact that Yunus and Grameen Bank were awarded the 2006 Nobel Peace Prize.

The global, disruptive innovation of microfinance set in motion by Yunus and a few dozen poor women in a single village provides a powerful example of how products and services typically considered out of reach to those at the bottom of the socioeconomic pyramid are in fact not, as long as the underlying business models are tailored to the context in which they are being used.

This and other examples illustrate that it is possible to create sustainable models for underserved populations. From decades of research and training, we recognized that we had a significant understanding of how leaders develop, yet

resource constraints and constraints on our own thinking limited how much of the world's population we were reaching. We also recognized that leadership knowledge needed to be customized to specific audiences so that it could reflect diverse contexts and that we had a lot to learn in this area.

A STRATEGY AND IMPLEMENTATION PROCESS

To address the challenge of scaling leader development, we looked for ways to be a component in third-party leader development systems rather than to attempt to exclusively build our own system. We likened this to the Intel Inside strategy in which Intel provided computer chips and processors to third-party providers that then incorporated these into a myriad of products. This strategy allows us to leverage our knowledge and capabilities but also, we hoped, achieve both scale and customization.

Open innovation and open-source models inform this strategy. By sharing our intellectual property openly with others, we encourage them to adapt and extend this knowledge, furthering knowledge of the leadership and leadership development fields. Many organizations, especially those in the knowledge generation and dissemination business, have histories of trying to control intellectual property, and they have pursued various legal, technological, and communication strategies to control the unplanned sharing of information. At the same time, a counterstrategy has been afoot, one in which knowledge generation and sharing were opened up rather than protected. Software such as Linux and Wikipedia, social networking sites such as LinkedIn, Facebook, and MySpace, and virtual worlds such as Second Life are a few of the now many examples of business models built on open-source approaches. In developing curriculum resources, we decided to encourage trainers to adapt our materials for their populations and share their materials with other trainers and their experiences with us.

Through this lens, it is possible to see that the potential network of leader development providers can be scaled dramatically from the limited number of executive education providers located in the West to a vast array of organizations and trainers around the world, each with a local footprint and a commitment to serving local populations or causes. Organizations that can deliver leadership development number in the millions and encompass schools and colleges, NGOs, community and faith-based organizations, and the in-house training functions of organizations. The challenge in becoming an enabler to others is to create ways to make our knowledge, methodologies, and tools easy to use and to develop and

package essential resources so that they are appropriate, accessible, and affordable. We approached this challenge using two processes for learning and product development, both from the field of innovation: market immersions and rapid prototyping. At times, we used the two in sequence; at other times we combined them. The impact was a good first round of results and much learning for our team.

Lessons from Market Immersions

To understand the need for leader development among underserved populations, a small team of CCL faculty and staff left the relative comfort of their offices and visited villages and cities around the world to explore needs and opportunities. We identified three initial regions for these explorations: India, Africa, and central and eastern Europe. Because of resource constraints, we focused our resources in India and Africa in subsequent explorations. While living in various communities in these regions, our teams not only observed everyday life but also conducted experiments to assess whether our approaches to leader development were resonant with local needs and practices. These experiences also provided us with an opportunity to develop relationships with key thought leaders and stakeholders with whom we might work in the future. In our immersions, we focused on engaging underserved populations and social sector organizations that serve lower-income populations that constitute the majority, and young people who constitute large percentages of the population and the workforce.

The lessons we learned during these immersions were profound and are reflected throughout the stories recounted in this chapter. Four lessons have particularly influenced our work. They have to do with language, storytelling, the challenges facing NGOs, and the need to reach young people.

The Important Subtlety of Language During our immersions, we consistently found that much of the existing knowledge that CCL had on leader development was applicable in parts of the world and with groups of people with whom we had not worked previously. And perhaps not surprisingly, we learned that the applicability of this knowledge would be enhanced if we adapted our language use to local cultural mores and practices. In many of the countries we visited, people associated the word *leadership* with negative views of hierarchy, authority, and political power. Like the story of the woman in Prague, for whom mention of leadership brought images of fear and repression, we encountered many instances that helped us realize how deeply rooted in our own cultural experience were our notions of leadership and leadership development.

For example, when we visited Kiev, Ukraine, to meet with young people about leadership, we were received with skepticism and some distrust about our underlying intentions. Many of the young Ukrainians we met associated leadership with government oppression and corruption. In some cases, they suspected that we were agents of the state. When we changed our language from "leadership" to "capacity building" or to "empowerment of young people," we received a more favorable response. Similarly, we found that in the social sectors in countries we visited, there was significant interest in enhancing leadership "capacity," but leadership "development" was rarely a top consideration. Although there is not a common understanding or acceptance of the words *leadership* and *leadership development* across geography and culture, we heard general agreement around the importance of the underlying skills of leadership (communication, interpersonal relationships, and team functioning, for example), and building capacity in those areas.

In another instance, illustrating the different interpretations of words, the translator at a training-of-trainers workshop in Addis Ababa, Ethiopia, had difficulty coming up with an Amharic word for "direction" (as in direction-alignment-commitment). The translation was interpreted by participants as "*giving* directions." Before long, participants believed, comfortably so, that the course leaders were proposing a hierarchical model of leadership that involved a single individual (the leader) giving directions and requiring alignment around, and commitment to, the directions provided. After some dialogue among staff and participants, we substituted the word *vision* for *direction.* The participants then moved from a hierarchical understanding of leadership to one that focused on collective capacity. For the rest of the week, we changed the framework from DAC (direction, alignment, commitment) to VAC (vision, alignment, commitment).

And finally, at the early stages of our work, we borrowed the term *bottom of the pyramid* to describe the types of populations often left out of leadership development. Yet we completely missed how this term could be denigrating to the very groups with whom we were working. One of our partner organizations in Ethiopia suggested that we host an ideation session to help us think through the application of leader development for grassroots leaders. During the session, we presented a question for reflection and discussion: "How can we develop, encourage, catalyze, and support more effective grassroots leader development at the bottom of the pyramid?" Participants in the session included local teachers, entrepreneurs, NGO leaders, and church leaders. As part of the agenda, we

included some time up front for defining our terms. We were surprised to learn that the *bottom of the pyramid* language we had been using was quite offensive to some participants. They told us that the language conveyed an arrogant and stereotypical characterization that people with fewer economic resources were at the bottom and, by implication, did not have resources to share with others.

One person told us how terrible it felt to be classified as unprivileged by the privileged minority. She added, "Instead of talking about leadership development for the bottom of the socioeconomic pyramid, we should be talking about leadership development for the majority of people everywhere." This powerful statement helped us understand the bias that we brought to our models of development. Consequently, we have changed our language by using terms such as *democratization* and *leadership for the majority* or *masses.*

The Value of Storytelling Time and again, we found that the elements of our conceptual model of leader development were easier to understand when conveyed through stories. In a workshop we conducted in Ethiopia, for example, the DAC (VAC) framework for leader development raised many questions and puzzling looks until we witnessed one of the local African trainers sharing the model by using imagery and metaphor. The trainer told a story about a pastor who wanted to build a church:

> The pastor worked with an architect to help him with an artistic rendering of the new building and the blueprints. He then took the drawings to the congregation and showed them publicly in a meeting. The pastor answered the questions of the larger group, and a team was formed to raise the necessary funds, purchase the land, hire a local contractor, and build the building. After six months of working together, the congregation moved in and dedicated the new structure.

When the classroom group was asked where specifically D, A, and C took place in the story, they were immediately able to discern and understand the DAC model as well as teach it to another person. This type of adaptation in content and form is needed as formal leadership development organizations extend their work globally.

In Uganda, our team interviewed sixty staff at an orphanage in order to more deeply understand how leadership played out in that context. By asking simple questions that mapped to the DAC framework, we were able to uncover stories

of leadership without ever using the words *leader* or *leadership,* that is, without introducing the bias of our own language and conceptual models. We began by asking for a story about a time when "you found your purpose [direction]," about a time when "everyone worked well together [alignment]," and about a time when "everyone was motivated and inspired [commitment]." These questions prompted uplifting examples about how the farm manager came to the orphanage with a vision for putting his skills to good use. His goal was to create a self-sustaining system where the land produced enough food not only to feed the children but to take additional produce to nearby markets to sell or trade. We heard how difficult it was initially to trust incoming expatriate staff, the time it required to build relationships, and how turnover among the core team members slowed their progress. Included in almost every story was the common theme of how the team members were motivated by the very real needs of the children. The indigenous staff made it clear that they came to work each day because they had a heart for orphans. It is these emotional connections that kept them coming back.

Extraordinary Challenges Facing NGOs During our immersions, we were particularly interested in speaking with representatives of NGOs and with youth-serving organizations because we thought the extensive local experience of these constituencies would be useful in helping us understand the challenges and opportunities of democratizing leader development.

In countries like India, where more than one million NGOs operate, interest in capacity building is quite evident. Many NGOs are working to ensure that India's poor are not further marginalized and are able to take advantage of the forces of growth and globalization. But this work entails much challenge for NGOs.

Through our immersion experiences, we learned that these external challenges are compounded by challenges that lie within NGOs themselves: promoting empowerment, collaboration, and retention, for example. Many of the NGOs with whom we met had not successfully developed their ability to embed and share leadership within the organization. In a number of cases, founders or senior leaders held a tight grip over the vision and day-to-day operations of the NGO, a source of frustration for impatient younger employees and, in some cases, the key reason for their departure. So, too, the lack of training and development was named as a factor in the high burnout rates and stagnation present among employees in this sector.

A devoted NGO staffer we met in rural India noted that he had to choose between his work and his family. He was separated from his family because his wife was unwilling to live and raise their children in a village that lacked decent schools. A medical doctor serving with Mother Teresa's home for the poor in an Indian city noted that the distress in rural areas was far greater, but he could not possibly subject his family to living in a hut. For those willing to make these deep personal sacrifices, there is the need to nurture the passion and purpose that sustain them through hardship. The president of a large Indian NGO told us with concern that "people need rejuvenation" and went on to admit that they were simply not providing enough of it to their current and developing leaders.

We also met with leaders of NGOs in which collective and creative leadership was very much present. At one organization in India, we witnessed a rural fieldworker interact with the organization's second-senior-most officer with relative calm as he was quizzed about a problem on a project. The fieldworker reported his observation about the cause of the problem and then laid out the steps he was going to take to address the issue. We were impressed not only by the worker's being unperturbed about the probing by the senior officer but his disposition to automatically seek to learn from the problem and create a solution to test. Not surprisingly, this was an organization that invests in developing its people and has grown to operate in forty thousand villages throughout India.

An international NGO working in Kenya on a countrywide HIV/AIDS intervention program asked CCL to help the organization with its own challenges around capacity building. The NGO expressed an interest in adding leader development to its existing capacity-building approaches, arguing that if leader development was added to traditional training around project management, finances, and the technical details for implementing public health programs, the outcomes would be more effective and sustainable.

The NGO had forty partners. When we brought them together in Nairobi, we focused on building self-awareness, practicing new skills and tools for working more collaboratively, learning from the experiences of other public health leaders, and developing a plan for applying lessons from the program to the workplace. Participants told us how powerful it was to hear the leadership challenges that their peers were facing, and they gained a level of comfort by knowing that they were not alone. In the closing session, the trainers heard moving stories from attendees about the plans they had made to take something back to help the other members of their team and the community leaders in the villages where

they lived and worked. One man explained that the program helped prepare him to tell a family member that she had tested positive for HIV/AIDS. Another participant was going back to work with youth because she saw the potential they had to become great leaders in the community.

Overall, we came away from our experiences with NGOs thinking our work could have a significant impact not only on the leadership skills and personal development of individuals within these organizations, but also on the quality of care that orphans, school children, the very poor, and persons with HIV/AIDS receive in their cities and villages. This possibility now fuels our desire to do more to promote the use of scalable leader development and local empowerment to build human capacity, both within the organizations that exist to help the poor and for the poor themselves.

The Need to Reach Young People One additional lesson learned from the immersions has to do with the need for expanding our efforts to reach young people, particularly in the developing world. Like other formal leadership development institutions, CCL has long been besieged with requests for youth leadership programming. Despite the fact that hundreds of thousands of educational, community, social service, and faith-based organizations serve young people, there is a dearth of curricula and tools for developing young leaders. To date, we have dabbled in youth leadership (or early leadership, as we sometimes refer to it), working with fellows programs, community organizations, and colleges and universities. The evidence indicates that these experiences can have an impact on young people. An evaluation of a youth program delivered by CCL over the course of twenty years for a North Carolina community organization noted changes in self-confidence, social skills, and personal purpose and potential (Guthrie and Cook, 2003). As we enter more global markets, however, we consistently hear from corporate and social sector colleagues that developing these competencies early is a keen need.

In India, as in many other developing nations, the need to develop young people derives in large part from the fact that the population and the workforce are relatively younger than those in many developed economies. As is true of much of our own educational system in the United States, the Indian system stresses technical skills, rote learning, and performance on exams and pays scant attention to building reflection and relationship skills. When these book-smart students enter the workforce, employers see that they are deficient in the nontechnical

skills. A senior human resource executive at a large Indian information technology company voiced the concern to us that self-awareness is not present in new recruits and that he needs "people who can think." He worried especially that educated but inexperienced managers could drive out talent by being heavy-handed. A senior executive at an Indian steel company stated that much of the development of a human being happens through self-reflection and follow-up action: "Students and executives should spend organized time with themselves—reflect on their thinking process, aspirations, strengths.... 'Reflection and action' is the mantra for personal and professional growth."

In our work with Indian NGOs, we found that as the war for talent heats up for college graduates, NGOs are turning to rural high school dropouts as a resource. This previously marginalized population has significant capabilities and value. Unlike urban recruits, these rural dropouts are well connected in their village communities and are happy to stay on and work there for far lower wages. Motivation is seldom in short supply. Usually what is needed is development to build their confidence and skills.

Youth in Africa are no different. As we walked through the streets in many large African cities and browsed the popular reading materials displayed by street vendors, we found leadership titles and self-help books in nearly every collection. African youth are hungry to learn. They are looking for respected resources to help them navigate the complex life challenges they are facing. One young man we met in Kampala, Uganda, for example, told us that the reason he and his peers were turning to popular books for answers was to make up for mentorship lost through war and disease. "We have lost a generation. Where do you turn when your fathers and mothers are gone? Who will teach us the life lessons we so desperately need to know?" The traditional African proverb has never been more applicable: "When an elder dies, a library is burned." Young people around the world are hungry for development and mentoring. Thus, there is a great opportunity to provide appropriate leader development tools and resources to hundreds of millions of young people.

The ability to think about one's personal path is doubly important for those who are poor and whose backgrounds do not include inspirational teachers or caring mentors. In India, we met with the training head of a large retail company who recruited low-income young people from the urban slums and used sophisticated methods to develop them. Asked how he had arrived at the importance of leader development, he said he gained insights from watching

beggars at a traffic intersection and reflected on why some beggars were more successful than others. He found that it had to do with self-confidence: the more self-confident behaviors he observed in street beggars, the more successful these individuals were. If self-awareness and self-confidence could make a difference for beggars, he wondered what impact it could make to motivated young people. The approach of hiring young men and women from the slums had paid great dividends; the retail operation excels at innovation and is growing rapidly.

We learned exponentially during our immersion experiences across India and Africa, and as is evident in our descriptions here, we used multiple ways of learning during these immersions: observation, discussion, and dialogue, as well as by presenting and testing short workshops. This brings us to the other important feature of our democratization strategy and approach: the processes we use to rapidly develop and test both adaptations of existing CCL training modalities and new ideas for leader development tools and techniques.

Rapid Prototyping

Just as we had in our field immersions, we drew on the field of innovation to rapidly develop new democratization offerings. Design thinking and several top design firms that work in this space (Continuum and IDEO) helped us pursue big ideas in tangible, practical ways. In particular, they helped us implement a design method called rapid prototyping (Coughlan, Suri, and Canales, 2007). A key assumption of rapid prototyping is that faster learning occurs when you fail early and fail often. By adopting a rapid prototyping methodology, we gave ourselves permission to learn by doing and to incorporate the lessons learned into subsequent iterations of our tools and programs.

When we were in India doing a demonstration workshop for community organizations that worked with youth, we ended the session with some dialogue about the value of the approaches we had used, including assessments. "Would these kinds of offerings be useful for the people you serve?" we asked. "Yes!" they replied. "So what would people be able to pay for these programs?" "About a dollar for a day-long program that included assessments and lunch." Rather than stopping us dead in our tracks, this response got us thinking about how we could offer leader development programs for a very low price by using self-scoring instruments and local community trainers. Based on this insight, CCL is now pursuing the development of low-cost instruments that can be used in such environments. We are also developing pictorial tools that can be used repeatedly by trainers as assessment tools and do not require understanding a given language.

Through our rapid prototyping process we experienced rapid learning, and this work continues to evolve as we test and refine models. The following sections review some of the approaches we are using to date: simplifying for scalability in a Leadership Essentials program that extends leadership essentials beyond CCL, builds trainer capacity, moves beyond the traditional classroom, and leverages technology.

Simplifying for Scalability and the Leadership Essentials Design One idea that we tested shortly after our first immersion in Uganda was a two-day high-impact workshop based on the ACS framework. We came to call it our Leadership Essentials (LE) program. The initial design was based on elements of our traditional leadership programs and focused on improved affordability and portability. The first LE workshop had no PowerPoint slides, no assessment prework, and no one-on-one coaching. Because we wanted to retain some personality assessment, in the first few runs of the workshop we included two self-scored instruments: the Myers-Briggs Type Indicator and the Change Style Indicator. Experiential exercises often used at CCL were renamed and reframed around contexts that fit the NGO environment. For example, one exercise called "Toxic Waste" was delivered under a new title, "Move the Money," and the case content shifted from relocating toxic materials to delivering precious resources and funding to communities in need. Although the underlying learning experience is the same, shifting the context of the exercise contributes to the sense of relevance to the participants, which helps them open up to the underlying lessons available in the exercise—in this case, the importance of teamwork and good verbal and nonverbal communication.

CCL's situation-behavior-impact (SBI) feedback framework (see Chapter Three) was included, and the notions of indirect feedback and hierarchical barriers were addressed. In using this program in developing world contexts, we learned that it is acceptable to allow trusted colleagues to deliver difficult feedback in order to help individuals save face and retain relationships. Critical feedback can be safely delivered using the SBI framework to peers and direct reports but should not be used with a boss unless trust has already been established over time and the boss specifically asks for the feedback. In sum, we quickly learned that our core leader development content was moderately transferable and, with modifications, had significant impact in developing countries. With minimal tweaks, the creation of a safe learning space, and the addition of storytelling as a teaching methodology, participants were leaving a two-day LE workshop

with increased self-awareness and new skills for meeting challenges in their work environments and communities.

Despite this early success, the initial design for LE was a failure in terms of scalability because it was still too expensive (the early phases of this work had been underwritten by CCL resources and small third-party contributions). By using multiple self-scored instruments, each costing about fifteen dollars, we inadvertently created a financial barrier to participation. Moreover, purchase of these assessments often required a credit card, Internet access, and international shipping. Short guidebooks for practitioners and experiential exercise materials that we often take for granted in our U.S. and European programs were not available in local markets. In discussing how to overcome these obstacles, partner organizations in Africa and India made it clear that in order to scale our delivery to local communities and organizations, they needed the ability to independently package and deliver the course materials. Since the first LE workshop was hosted in Jinja, Uganda, in 2007, dozens of these workshops have been delivered, reaching more than fifteen hundred grassroots leaders. Iterations and improvements have taken place in each of these subsequent settings, and the cost of all materials is now about ten dollars per participant. The work we have done so far has been funded mostly by grants from foundations and private donors. However, it is clear that we still have work to do to reduce costs further while keeping impact high.

In our most recent design for LE (see Exhibit 8.1), the essential principles are clearly defined and woven throughout the program. Guided by CCL's ACS framework, the current workshop design weaves in such essential elements of leadership development as mental models, emotional intelligence, an explanation of the learning curve, self-scored assessments, and reflective tools. Assessment components include social identity mapping, the Campbell Leadership Descriptor (a self-scored assessment of leadership capabilities), and a reflection tool titled Seven Dimensions of Global Leadership (a self-score reflective tool based on the GLOBE research). Experiential exercises are used to create in-the-moment challenges. Participants are also challenged by the content of many of the modules, through exchanging perspectives in shared dialogue during Images of Leadership, through learning and practicing the SBI feedback process, and through setting goals for their ongoing development. Support for participants comes from peer coaching, interaction with trainers, and the open learning environment that trainers created in the classroom.

Exhibit 8.1
Leadership Essentials Program

	Day 1	Day 2
Morning	**1)** Introductions **2)** Meeting Other Leaders: Social Identity **3)** Essential Elements of Leadership Development: Mental Models **4)** *Images of Leadership:* Visual Explorer	**11)** Review and Preview **12)** Essential Elements of Leadership Development: Development Is Dynamic/Learning Curve **13)** Campbell Leadership Descriptor **14)** Activity: *Traffic Jam*
LUNCH		
Afternoon	**5)** Essential Elements of Leadership Development: ACS / DAC **6)** Essential Elements of Leadership Development: Emotional Intelligence **7)** Activity: *Win as Much as You Can* **8)** Essential Elements of Leadership Development: *Situation–Behavior–Impact:* A Feedback Framework **9)** Assessment: Seven Dimensions of Global Leadership **10)** Homework: Key Leadership Challenge: Campbell Leadership Descriptor	**15)** Key Leadership Challenge Consultations **16)** Taking Your Learning Home: Now What **17)** Challenges **18)** Obstacles, Support, and Accountability **19)** Program Closure

Exhibit 8.2
Three Components of Social Identity for the Social Identity Exercise

Given identity. The attributes or conditions that you have no choice about are your given identity. They may be characteristics you were born with, or they may have been given to you in childhood or later in life. Elements of your given identity include birthplace, age, gender, birth order, physical characteristics, certain family roles, possibly religion.

Chosen identity. These are the characteristics that you choose. They may describe your status as well as attributes and skills. Your occupation, hobbies, political affiliation, place of residence, family roles, and religion may all be chosen.

Core identity. These are the attributes that you think make you unique as an individual. Some will change over the course of your lifetime; others may remain constant. Elements of your core identity may include traits, behaviors, beliefs, values, and skills.

Source: Hannum (2007).

On the first morning of this workshop, the participants are introduced to social identity, emotional intelligence, and mental models. The social identity mapping tool provides a platform for building self-awareness in context and is used as a means of introducing participants to other leaders in the program. Social identity comprises the parts of a person's identity that come from belonging to particular groups (see Chapter Five). This is an important concept since the social identity of those around us affects how we are viewed as a leader and how they view, and thus work with, others (Hannum, 2007).

Our social identity exercise asks individuals to reflect on three broad components: given identity, chosen identity, and core identity, as summarized in Exhibit 8.2.

The relevance and power of social identity mapping is apparent each time we offer the LE program. Participants tell us that they gain deep insights regarding largely unchosen attributes (birthplace, age, gender, family) versus attributes over which they have a great deal of choice (occupation, religion, political affiliation, place of residence). For example, in March 2009, CCL had the opportunity to work with a group of sixteen orphaned teenagers from a junior college in Jinja,

Uganda. Through the use of the social identity mapping exercise, we uncovered a significant block that existed for this group of orphans: they did not see themselves as having chosen aspects of their identity. In fact, they perceived themselves as having exerted little or no choice over almost every aspect of their identity.

The Jinja students quickly engaged in the activity and generated a detailed list of given attributes, including tribe, geographical setting of birth, and physical characteristics. What also appeared in this list were attributes that we are used to seeing as chosen aspects of identity: scholastic interests, sports, music, and other group affiliations. This group of orphans did not see themselves as having chosen these aspects of their identity. In essence, it was a matter of lacking personal control. Through our extended conversations and coaching, these young adults came to see their personal ability to choose and influence a measure of control over their futures, and through this reflective process, we saw them make connections and grapple with new insights. Beginning to emerge among them were personal visions and the ability to exercise personal choice about their futures.

Taking Leadership Essentials Beyond CCL In late 2008, a group of seventy-four students gathered at a local university outside Nakuru, Kenya, a three-hour drive from Nairobi, to take part in an LE program facilitated by Kenyan professors, all alumni of CCL's Leadership Beyond Boundaries (Train-the-Trainer) Program. After the program, the lead facilitation team wrote as follows to CCL:

> It was indeed a great learning opportunity for the three of us, in hosting a recent Leadership Essentials workshop. We had a huge number of participants, so much content to deliver over a very short period of time and with limited resources. But guess what! WE DID IT! We did our best, though everything didn't go the way we expected or planned, but those were learning opportunities for us. Having not had an experience like that before, the students were eager to learn, very excited about the whole idea and very happy to be involved. In fact, most of them want to be involved in such a program more often. They want to develop leadership competencies at a personal and corporate level [available at http://leadbeyond.blogspot.com/2009/01/lbb-alumni-train-leadership-essentials.html].

During the course of the program, students heard personal leadership stories from the deputy vice chancellor for administration and finance and another

professor who sat on the board of a local nongovernmental organization. The students used a dialogue tool from CCL to define leadership and clarify the distinction between leadership and management. The facilitators debriefed the results of the Student Leadership Practices Inventory using Kouzes and Posner's model (Kouzes and Posner, 2006). They covered topics such as "Development Is Dynamic," "The Learning Curve," and "Emotional Intelligence," and they learned to use the Situation Behavior Impact Feedback Model. One professor wrote: "In addition to the workshop modules, we had a 'democracy-wall' at the back of the room with paper, markers, tape and space for participants to express their feelings, discoveries, observations and suggestions. The wall was organized by the following topics: *I Felt . . . I Noticed . . . I Discovered . . . I Would Like to Suggest . . .* It's always a joy to see this noble task of developing leaders grow from one level to another with every passing year" (http://leadbeyond.blogspot.com/2009/01/lbb-alumni-train-leadership-essentials.html). These were Kenyan facilitators engaged in the noble task of developing the future leaders of Kenya. There were no Western subject matter experts at the front of the classroom in Nakuru.

Building Trainer Capacity Mainstream leadership development organizations tacitly assume that the only legitimate way to do effective leader development is for professional trainers to work with participants in week-long (or longer) programs using extensive test batteries, complex simulations, and professionally certified coaches. CCL reaches about twenty-five thousand individuals through over a thousand programs using these methodologies each year. There is strong anecdotal and empirical evidence that our interventions with these twenty-five thousand individuals have powerful effects, but the costs of such interventions are high to CCL and to participants, which significantly limits their global scalability. If, as a complementary strategy, we also ran just ten train-the-trainer programs with twenty-five participants each, the 250 newly minted trainers could run five programs apiece each year, effectively doubling the number of people CCL currently serves. Add more portable and less expensive tools, and this is a recipe for both accessibility and scalability.

CCL has begun a train-the-trainer program that is transferring our capability to local trainers around the world. These local trainers intend to work in turn with audiences that include church groups, minority populations, inner-city youth, and even prison populations. As one example of this model in practice, in early 2008 we offered a Leadership Beyond Boundaries (LBB) program as a rapid

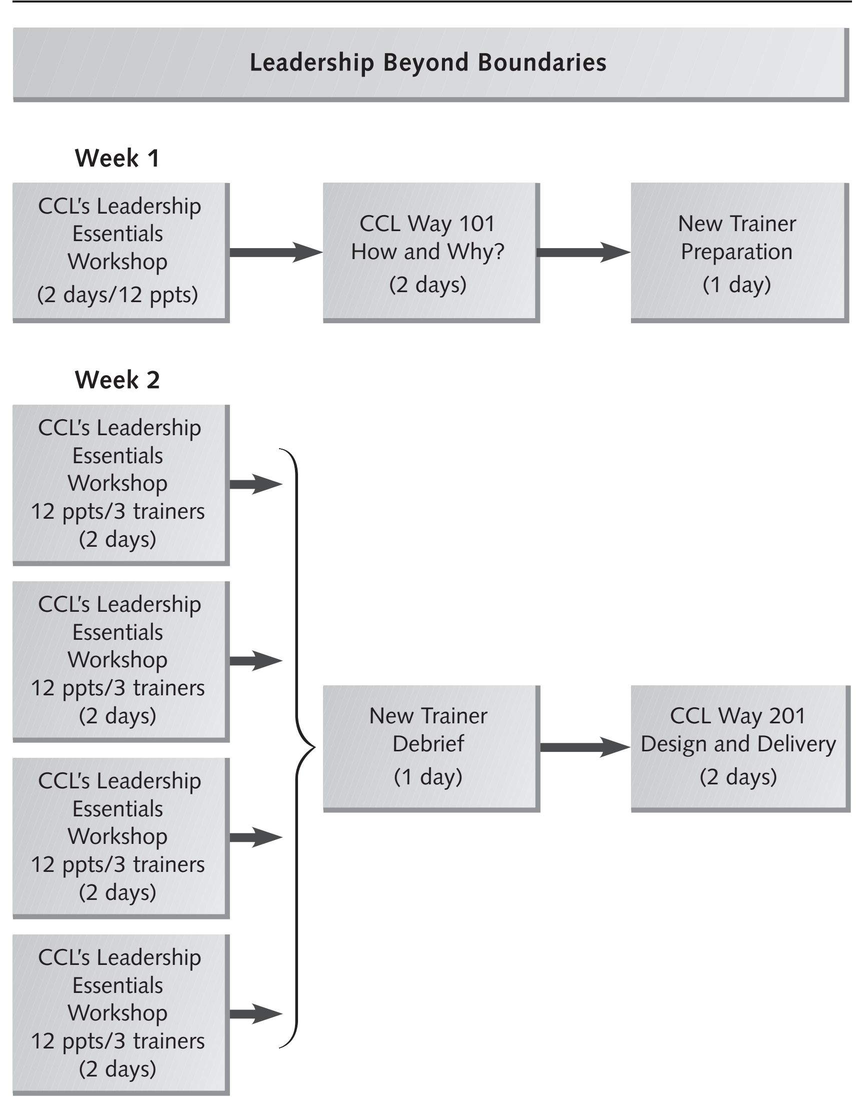
prototype of a train-the-trainers model. The initial program brought together NGO trainers and facilitators from nine countries—Barbados, Guyana, India, Jamaica, Kenya, Nigeria, Senegal, South Africa, and the United States—for a two-week program. We quickly learned one thing participants wanted that was not in our initial design: for their own process of development, they wanted to experience an individual leadership workshop. In response, we refashioned the model as follows:

- A group of twelve trainers-in-training come first as workshop participants to the LE workshop.
- They reflect back on the lessons they have learned about leader development and explore the underpinnings, rationale, and design of the workshop.
- Then they are placed in teams and asked to deliver the LE workshop with CCL staff and coaches as mentors.

This model confronted us with the challenge of recruiting an audience (a second tier of participants) for the trainers-in-training to practice on. Instead of having our staff assume the role of participants, we invited local community leaders to a low-cost training solution delivered by the newly trained facilitators. The results far exceeded our expectations: the trainers-in-training assumed substantial ownership for the content they delivered, and the model reached as many as sixty people in the course of one experimental, low-cost program. Thus, the newly trained trainers are leaving the LBB program with everything they need to independently deliver the workshop content within their own contexts. The design of the program appears in Figure 8.1.

This approach is exemplified also in a project we conducted with a university in the Caribbean. In this partnership, funded by the Centers for Disease Control, between the University of West Indies (UWI), the University of North Carolina at Chapel Hill (UNC), and CCL, we provided leadership content and facilitator training to a group of UWI public health college professors and practitioners. This content was coupled with other essential public health content for leaders working on the front lines of the HIV/AIDS epidemic in the region. The trainers for the program, the first graduating UWI group, plan to scale the program to hundreds of local leaders throughout the Caribbean, reaching populations whom CCL would be hard pressed to otherwise serve directly. As evidence of the initial success of this training-the-trainers approach, after two multiday sessions with

Figure 8.1
Leadership Beyond Boundaries Process



Note: ppts = participants.

the college professors and other public health professionals, we were told that they thought they were sufficiently skilled to begin scaling the program without any additional assistance from us. As we reflected on this outcome, we realized that one of our key goals, knowledge transfer and empowerment, had occurred.

Moving Beyond the Classroom While training can be effective in yielding deep insights in a short period of time, we understand that people tend to learn best from life, especially when there is a measure of support. Mentoring, a key factor in the development of many successful people, can be done everywhere at no financial cost, and it invariably enriches mentors and mentees. Many young professionals we spoke with in India cited that leadership growth came from mentors, be they family members or bosses. What mattered was someone who cared enough to spend time with them and understand their needs. There is vast potential to help make mentoring more commonplace and to build mentoring skills. We are pursuing methods to develop mentors in Africa, India, and the United States and to link them globally using online social networking technology to advance mentoring within and across organizations and communities.

Coaching is also an important tool for people in the developing world. In India, companies have expressed keen interest in figuring out how to provide mentoring and coaching to the tens of thousands of young managers entering a rapidly developing economy. With an Indian conglomerate, we are developing a coaching model that offers a hybrid of telephone and asynchronous online interaction. This methodology is designed to reduce the cost of coaching so that it can be used to build reflection skills by more junior-level staff. Instead of using psychometric instruments that require expense and expertise to administer, the process uses 360-degree interviews to gather feedback and a dialogue tool to share challenges and aspirations. Just-in-time resources, such as readings on specific topics (for example, conflict management or work-life balance), are provided to coachees to help them through their identified challenges. An added benefit of this virtual approach is that coaching can be made available on demand by a network of coaches on call, providing support in unexpected times of need. A key aspect of this model is to develop a broader cadre of coaches, such as retired business executives or former professionals who have become homemakers, who can serve as coaches. This approach mirrors outsourcing and remote tutoring services that are extensively available in India through call centers and home-based networks.

In contrast, coaching can also become part of the skill set of those working to assist the poor in isolated and impoverished rural environments. In a 2009 program CCL conducted in rural villages in Ghana with a U.N. development organization, we developed a model that enabled government agricultural agents who typically provide technical assistance to village farmers to engage in group coaching. We created an exercise that adopts the metaphor of a tree

with roots and branches to help the community collectively articulate its assets and aspirations. The engagement allows the government representatives to use questions to coach the community to identify the resources they already have and explore how these assets could be leveraged to overcome their challenges. In addition to increasing shared awareness, the approach helps create a collective commitment to a specific course of action. We are also experimenting with self-coaching approaches on online and mobile platforms. These use visualization tools to help individuals gain insights into problems and solutions. As these approaches demonstrate, there is significant scope for innovation to create just-in-time, accessible, low-cost, and mass customization models that can be provided to many more people around the world.

Leveraging Technology Technology is a great new frontier in leader development. While leader development is deeply personal and face-to-face interactions matter, technology also has a role to play. Online modules can allow individuals to assess skills and learn content at their own pace, in a safe way, and just when needed. Furthermore, virtual worlds, games, and social networking platforms offer ways to build and support development. Online simulations can be an effective and enjoyable way to learn and practice skills.

While lower-income populations have less access to these resources at this time, the variable cost of electronic versus face-to-face delivery suggests that we will see more activity and innovation on this front. The rise of mobile technology and Wi-Fi networks extends the reach of delivery platforms, and novel applications are being developed for emerging markets. For instance, we learned about a new use of technology from the University of Iowa in which a large hard drive that runs on a lower power source such as a car battery was used to cache Web pages. This technology is called "e-granary" or "internet-in-a-box" (http://www.widernet.org/digitallibrary/). This technology allows individuals and organizations in rural areas without Internet access to access useful content previously available only through an Internet connection.

In 2009, we took special versions of "Internet in a box" loaded with CCL Webinars, podcasts, white papers, and publications to communities and villages in East Africa. We watched in amazement as youth at an orphanage in rural Uganda perused the Internet for the first time using Google tools to investigate subjects of interest, including streaming videos from our leader development Webinars. A computer lab that was previously disconnected to the larger world

suddenly became a portal for important resources preparing these young leaders for future challenges. Another collaborator in Kenya coupled the Internet-in-a-box tool with a laptop so they could take a portable leadership library with them when working with local tribes and schools in remote villages.

The scope of ideas we have started to experiment with are but a beginning. We see immense room for innovation in this space. Our own efforts will continue to evolve as we test and revise models and break new ground. The models we have developed to date are less important than the shift in thinking about leader development that we hope will take place in the years to come.

CONCLUSION

Abraham Maslow let loose on the world a sticky idea that also encapsulated a pyramid (Maslow, 1943). The model, now known as Maslow's hierarchy of needs, suggests that physiological needs are foundational, and self-esteem and self-actualization are the more dispensable top tiers of the pyramid. At the same time, self-esteem and self-actualization enable us to secure all of our needs. Our quest for a better life enables us to innovate and rise above adversity, and it has shaped the great movements that have produced progress in our world. What Mohammed Yunus and other social change agents have demonstrated is that the poor can be creative and entrepreneurial when they have the means to provide a better life for their families. Microcredit, a paradigm-shifting innovation Yunus introduced, is a catalyst that has enabled tens of millions of people to cross the poverty line in record time. We believe that leader development is a technology with comparable potential to improve the human condition but one that also requires a mind shift and a grassroots movement.

The span of new activities beginning to take hold in some leadership development organizations requires adopting new ways of thinking about the underlying business models and approaches to the practice of formal leader development. As CCL has embarked on an exploration of these new approaches, it became clear to us that we can develop high-quality, lower-cost tools and resources that are useful to individuals and organizations that currently lack access to offerings. We hope to play a role in stimulating a movement that enables us and others in the field to achieve this vision of democratizing leader development. We hope that other like-minded organizations will see the opportunity in underserved markets and begin to develop lower-cost resources and open-source models.

HR professionals may find that there are viable methods in this space to scale and sustain leader development to underserved groups in their organizations, such as new recruits and young managers. Researchers and evaluators can help give credence to this work by examining what works (and does not work) and what the impact is on the outcomes we seek to create through these investments in leader development for more people. There is also fertile ground for researchers to learn from local approaches such as self-help groups, working interdependently as collectives *(ubuntu)*, and truth and reconciliation processes. Donors can help support these nascent endeavors by providing seed money for new efforts to take root. While the models we describe are meant to be self-supporting, the start-up phase in tools development and trainer capacity requires an investment of time and human capital. NGOs, government agencies, and educational institutions are recognizing that talent development is a critical element to achieving the outcomes they seek, but funding for leader development is still rarely available.

Using CCL's frame of DAC, it is possible to see that the need for much broader access to leader development is clear. So too, creating broad access to leader development is possible in our interconnected world by leveraging the vast network of NGOs, educational institutions, and community organizations that are already working to contribute to human well-being. What is most missing is a commitment to extend leader development in our world. So we conclude this chapter with an appeal.

Our world has taken many strides in recent centuries toward greater inclusion and equality. Education, health care, clean water, voting rights, and freedom of expression are now all widely considered basic entitlements that advance societal good. Many goods and services have also been democratized by market forces that have brought them to the masses at affordable prices. Access to financial and telephone services is already within the means of most individuals in the Western world and increasingly available to hundreds of millions of poor people in the developing world. We hope that access to leader development will follow and become part of what is considered to be essential for every person. Endowing each individual with a deeper sense of purpose and better relationship skills can only yield better results from us individually and collectively. We believe that greater access to leadership development will produce more peace and prosperity in our world. As a traditional Ethiopian proverb states, "When spider webs unite, they can tie up a lion."

chapter
NINE

Evaluating Leader Development

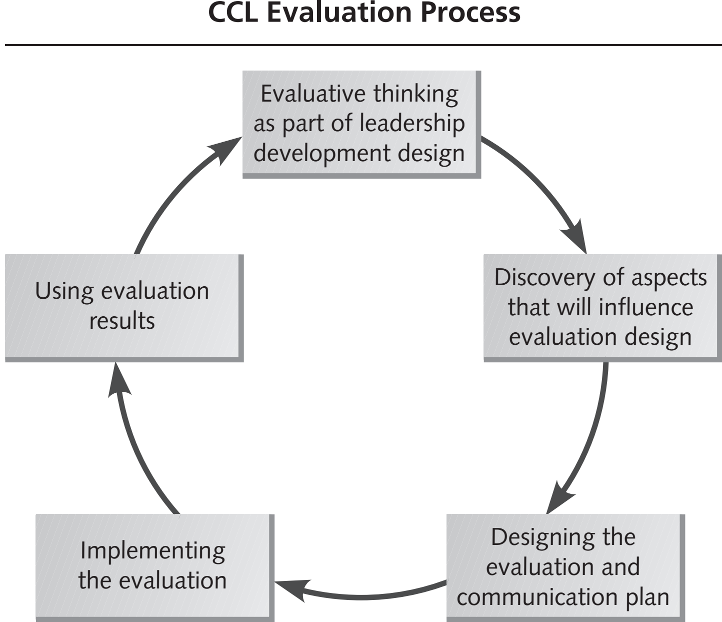
Jennifer W. Martineau
Tracy E. Patterson

Many organizations spend significant amounts of time and money on the development of leaders, and they want to know whether these investments are worthwhile. As providers of leader development, we also want to know whether our programs are meeting clients' needs and how we can improve the impact of our work.

High-quality evaluation of leader development can be challenging for two primary reasons. First, it is often difficult to identify the most critical factors to evaluate because stakeholders vary in how well they can identify observable outcomes expected from leader development. Second, isolating the effects of leader development from other forces is challenging. Because leader development occurs in the context of everyday organizational change and work, multiple forces—economic conditions, policy changes, organizational changes, and others—affect the expected outcomes of leader development. However, because leader development is a process in which organizations invest significant resources, it is critical to assess its impact and continuously improve the practice of leader development.

In this chapter, we present the Center for Creative Leadership's (CCL) approach to evaluation and share our experience in evaluating leader development initiatives—initiatives that focus on the development of individual leaders, groups and teams of leaders, and, increasingly, leadership at collective levels of organization, community, and society. We also reflect the advancement of our practice of evaluative thinking. We mention that now because it speaks to the development of our own thinking about the value and purpose of evaluation. In the past decade, we have become convinced that the ultimate purpose of evaluation is developing knowledge that can lead to better-informed decisions. Earlier models of evaluation focused on demonstrating outcomes to prove the value of a particular practice. More recently we have come to believe that the true worth of evaluation is found when evaluation is shaped and conducted in conjunction with the design of leader and leadership development interventions so that the evaluation best serves the overall development initiative. This chapter explores our thinking about the process for evaluating leader development, lessons learned from putting evaluation into action, and using evaluation for learning purposes. It also sets out the steps in preparing, designing, implementing, and using a quality evaluation. These steps are shown in Figure 9.1.

Figure 9.1
CCL Evaluation Process



The chapter also discusses common challenges that emerge when implementing an evaluation. It ends with our insights about evaluation as a way of learning about leadership development—using the practice of evaluation to advance the knowledge base of leadership development and synthesizing lessons from individual evaluations to improve understanding and practice. As in other chapters, we focus on the leadership tasks of providing DAC: direction, alignment, and commitment.

INCORPORATING EVALUATIVE THINKING INTO DESIGN

Among the most important contributions that evaluation can make to an intervention is to influence the design of a leadership development project by asking questions from an evaluative perspective. Known as evaluative thinking, this involves asking questions that help program designers and stakeholders frame interventions in terms of goals, outcomes, and objectives and reflect on how the program anticipates outcomes. Evaluative thinking helps designers and stakeholders consider their vision for a successful intervention: What does success look like? When will the desired outcomes be observable? What types of data will be most convincing and appropriate for the program's stakeholders? What types of contextual factors exist that may support the program in creating the desired change—or prevent change from occurring as intended?

Bringing evaluative thinking and rigor to the front end of program design during needs assessment aligns the design with its intended outcomes, resulting in designs that are more likely to accomplish their goals. Evaluative thinking creates or reinforces a desired strategy for a leader development initiative. This mind-set is foundational.

DISCOVERY IN EVALUATION AND INTERVENTION DESIGN

The process of evaluating leader development begins with needs assessment, or discovery. Discovery can take multiple forms, including review of documents such as strategic plans and annual reports; multiday facilitated group sessions; and in-depth individual interviews with key stakeholders. To develop an evaluation, evaluators participate in a discovery process along with designers, funders, and clients as they plan the overall intervention. The purpose is to gather information about the needs and context of the client organization or targeted community to see the whole picture surrounding the request for leader development. This section discusses the need to identify stakeholders and the general discovery process.

Stakeholder Identification

Because a primary purpose of the evaluation is to answer the questions of key stakeholders, the first phase is to identify those stakeholders. This is also the first step in the leadership development design process. We begin by asking questions such as, "Who is involved in or affected by the evaluation?" and "Who has decision-making authority with respect to both the initiative and the evaluation?" For example, a CCL-facilitated community health leader development program includes the following key stakeholders: participants (emerging leaders in health-related nonprofits in nine communities); their organizational sponsors; the program's designers, trainers, and coaches; a national advisory committee; and sponsoring organizations, including a national foundation that funded the multimillion-dollar initiative.

Another example comes from the evaluation of a leader development program in a postconflict country, in which social norms dictated that the in-country director of the program's sponsoring organization (rather than the lead evaluator) invite key stakeholders to participate in the evaluation. In this case, the evaluation interviews were conducted individually rather than in a focus group of multiple stakeholders, because relationships were still sensitive between different officials and the parts of the government or community they represented. It would not have been productive or advisable to bring these stakeholders together.

After identifying the key stakeholders, it is necessary to determine the best way to involve them in the needs assessment and design process. Since gathering all key stakeholders together for this process can be difficult, we modify the process to suit their needs. For example, when we can assemble only half of the key stakeholders, part of their preparation is to gather information from the remaining stakeholders. This serves three functions: it provides the information needed for the assessment, promotes relationships among the stakeholders, and aligns the stakeholders in terms of information about the initiative. Whatever the method, it is important for improving the chances of success to gain a commitment from all key stakeholders to both the leader development initiative and the evaluation.

For the community health leader development program, we gathered information face-to-face with program designers and trainers as part of the design process over several months. We gained insights into the foundation's perspective by getting feedback on anticipated outcomes and the types of evaluation data

expected to be available three years after the program started. We also asked participant groups for volunteers to serve as liaisons to the evaluation team.

With stakeholders identified and committed, the next step in shaping an evaluation is a discovery process to understand the multiple factors that influence the design of the evaluation.

Essential Elements for Evaluation

Discovery processes use a variety of steps and questions, but the essential elements required to prepare for the design and evaluation of leader development are these:

1. Understand the context of the organization or community.
2. Identify desired results or outcomes.
3. Determine the individual competencies and collective capabilities needed.
4. Generate possible solutions.

In discussing each of these steps, we delve more deeply into the steps where evaluation design and its implementation play a larger role. Although we highlight the aspects of each step that are most relevant to the evaluation, the entire design team is engaged in the discovery process and is using the information generated to design the leadership development initiative, as well as its evaluation.

Step 1: Understand the Context of the Organization or Community

What are the core obligations of the organization or community? What is its unique value to employees, customers, or community members? What does the organization or community do well? This grounding enables the evaluator to understand the broader context within which leadership development and the evaluation are taking place. It is also important to link leader and leadership development to the challenges the organization or community is facing—to understand why its stakeholders are willing to spend time and money on development and what they hope to accomplish.

In our practice, we typically ask stakeholders to identify and define their most critical challenges, then prioritize these issues to provide greater focus for subsequent phases in the process. For example, in countries such as China, where much of the growing workforce is relatively young, organizations are finding that potential leaders expect rapid development and promotion and will change jobs and organizations to remain on their desired individual career trajectory.

For these organizations, often one purpose of leadership development is talent retention. CCL worked with an Asian financial institution that was struggling in this war for talent to retain highly qualified employees and develop a strong leadership pipeline. As part of the discovery phase of design, the organization participated in a thorough discussion and analysis of its needs and identified the following goals for a leadership development initiative:

- Expand the capacity of individuals to be effective in leadership roles and processes.
- Strengthen the capacity of teams to improve organizational outcomes.
- Develop a pipeline of leadership by creating a critical mass of leaders.
- Encourage collaboration across functions and sectors.

To begin to meet these goals, the leadership development initiative targeted high-potential leaders in the organization to develop leadership skills and how they could adapt their skills over time in the face of ongoing change and emerging challenges.

Step 2: Identify Desired Results or Outcomes Logic models or theories of change can help ensure solid agreement on desired outcomes. Gutierrez and Tasse (2007) provide a comprehensive discussion of the effective use of theories of change and logic models in evaluating leader development initiatives. Logic models are often described as "placing greater emphasis on the outcomes of programs," whereas theories of change are described as "involving higher order critical thinking, articulating hypotheses about why something will cause something else, and having greater explanatory power" (p. 51). Both logic models and theories of change are used to articulate the cause-and-effect relationship between interventions and their anticipated outcomes. The benefit of these tools is that they can be used to require program staff to gain clarity on this relationship by literally creating a map or image of the program and its resulting outcomes, as well as other components such as assumptions related to the program. The map provides a realistic picture of the type of results achieved through leader and leadership development.

Once the logic of a program design is cast, the levels of outcomes expected from the initiative should also be clear. It is important to review the outcomes with all stakeholders so that measures can be designed that are appropriate to the target audience and assess all desired levels of outcomes. Whereas an initiative may

target the individual, the group, or the organization level, the outcomes expected from an initiative may or may not be limited to the level of the target audience.

As a leader development initiative and its related evaluation are designed, it is important to verify that the design of the program is right for achieving its desired results and outcomes. When might this be a problem? For example, it is not unusual for organizations to expect group- or organization-level outcomes from initiatives targeted at individuals. And it is possible for organization-level outcomes to occur from that if the leader development initiative

- Is aligned with organizational strategy and is designed to create a specific set of outcomes related to that strategy
- Is designed to ensure sustained development of the targeted competencies and capabilities
- Holds a critical mass of participants accountable to use their enhanced competencies and capabilities in service of that strategy
- Engages senior leaders with the participants and their efforts to institutionalize change in the organization

But it is not likely that organization-level outcomes will be achieved through the use of a single three-day, classroom-based leader development program that has no connection to organizational strategy or executive engagement. To create a design that will lead to the outcomes stakeholders expect, it is critical to discuss expectations regarding results with stakeholders early—at the needs assessment and design phases of an initiative.

Feedback-intensive programs focus almost exclusively on each participant's personal strengths and development needs—that is, they target the individual. However, this kind of program is often used by organizations with the intention of obtaining outcomes at the individual, group, and organization levels. It may be possible to generate some outcomes at the group and organization levels if a critical mass of people participates in individual leader development from a single organization or part of an organization *and* if the program is clearly connected to a group- or organization-level change that the organization has targeted. If these two conditions are true, individuals can direct the changes they are making as a result of the program to the intended group- or organization-level changes. Note, however, that other factors are required to create group- and organization-level change (for example, sufficient organizational support and systems change); no single leader development program is

likely to result in complex group or organization change unless other conditions also support the changes.

In the community health initiative, the program was designed to target individuals yet anticipate outcomes like the following at the organizational and community levels: increase participants' support of their organizations to strengthen collaborations with other community-based organizations (organizational) and lead the communities within which these organizations exist to form more strategic partnerships (community).

Step 3: Determine the Leader Competencies and Capabilities Needed Once we have defined what success looks like and what levels of outcomes are desired, we turn our focus to the specific leader competencies and leadership capabilities that need to be developed to produce those outcomes. We assess leader and leadership development needs using questions such as, "What does the organization or community need to change, develop, improve, or learn how to do to achieve the desired results?" and "What are the consequences of not addressing these leader and leadership needs?" For example, individual leader competencies identified by our clients include collaborating across boundaries and adapting to an environment of rapid change. Group capabilities typically identified are related to making changes in the way groups focus on the organization's strategy in their work.

In the community health example, each participant is expected to help the organization develop and sustain more collaborative relationships with other community organizations and increase its ability to identify and bring resources to support the organization's work. As a result of developing a cadre of emerging leaders in health-related nonprofit organizations in specific communities, the funding organization expects to see longer-term sustained joint planning and implementation of activities at the community level, as well as new resources leveraged for the community's health initiatives.

Step 4: Generate Possible Solutions Finally, the larger design team with which evaluators are working will create potential solutions for the leader development program or initiative. The content and process flow should be designed to address all of the aspects identified in previous steps. The team guides stakeholders through this process using questions such as, "What possible solutions will enable us to develop the organizational capacity and individual competencies that we seek?" and "What forms of evaluation should be included?"

DESIGNING THE EVALUATION

We recommend designing the evaluation as part of the process of designing the leader development initiative itself to ensure that the two pieces are integrated. Benefiting from discussions among stakeholders in response to questions that help clarify the evaluation design (for example, "What does this outcome mean?" or "What behavior change is expected?"), the designers can likely strengthen the initiative. For designing the evaluation itself, planners can follow these steps:

1. Identify the purpose of the evaluation.
2. Identify specific evaluation questions.
3. Choose specific evaluation methods.

Identify the Purpose of the Evaluation

Stakeholders must agree on the purpose of the evaluation. For example, will the findings be used to improve an ongoing program? Will they be used to make high-stakes decisions such as whether to continue funding a program? Gaining clarity on the purpose of the evaluation will help ensure consensus among stakeholders on what kinds of evaluation data are needed and how they will be used.

Identify Specific Evaluation Questions

Identifying evaluation questions is an iterative process. At this stage, we work with stakeholders to draft high-level questions such as, "To what degree are the initial outcomes achieved by the participants?" and "What evidence do we have that outcomes have been sustained over time?"

Choose Specific Evaluation Methods

Once the broad evaluation questions have been identified, we work with key stakeholders to identify the methods by which data will be collected for each question. Some methods are more appropriate than others for certain types of questions, as well as for the types of data that organizational stakeholders prefer. For example, telephone interviewing is an acceptable method of data collection in the U.S. culture with most corporate populations, but in-person interviewing is preferred in some U.S. communities and in some Asian and European cultures (Russ-Eft, 2004). In-person interviews are more appropriate when those being interviewed may not easily trust the evaluation process or the interviewer or when it is important to build a relationship before asking questions. Meeting in person provides more opportunity to build trust as part of the data

collection process. In some cases, evaluators can be seen by participants and other stakeholders as impartial and appropriate observers for conducting interviews and focus groups. However, in other situations, the evaluators may be perceived as too closely aligned with the organizations funding the program to serve as impartial data collectors.

Whether data are collected in person or by phone or a survey, some participants and other observers, rather than responding honestly, may attempt to please funders or make sure to present information in a positive light. This happens, for example, in parts of Africa, where "it is common for interviewees to attempt to anticipate desired responses and provide answers that reflect positively on the program being evaluated" (African Evaluation Association, 2002, p. 12). To ensure effective data collection, it is important to think through and understand the needs and cultural norms of respondent groups. Creative approaches to data collection may be required. Some methodologies that hold promise for cross-cultural application are the use of images (photographs and drawings), appreciative inquiry sessions, storyboarding, and collages to collect and communicate evaluation data.

It is also important to determine the specific types of data that stakeholders will accept as evidence of impact and the types of data collection that will be tolerated and supported by the organization, community, or culture. For example, stakeholders may place differing value on quantitative versus qualitative data. Some are more interested in anecdotal story examples of how a leader development initiative is having an impact. In this case, in-depth interview or case study data may best inform and engage them in understanding the impact of an initiative. Other stakeholders are most interested in the return on investment of a program. They want quantitative data that tie the leader development initiative directly to bottom-line business metrics. These expectations may call for specific analysis that quantifies the total cost of the leader development investment compared to the estimated financial impact of the development initiative. Hannum and Martineau (2008) offer more detailed information about what to consider when selecting evaluation methods, such as choosing culturally appropriate methods, choosing methods that fit any resource constraints, and using pilot testing for the methods.

Once the basic scope of the methods has been identified, it is time to become more detailed and specific about methods. Excellent advice is available on designing the content of targeted evaluation methods (see, for example,

Hannum, Martineau, and Reinelt, 2007; Henderson, Morris, and Fitz-Gibbon, 1987; Krueger and Casey, 2000; Patton, 2002; Phillips, Stone, and Phillips, 2001; Preskill and Torres, 1999). Here we provide a brief overview.

Methods to Measure Individual Outcomes To assess outcomes in individuals themselves, we typically use final evaluation surveys, comparisons of expectations and benefits, interviews or open-ended questionnaires, learning surveys, tracking of action plans and progress toward goals, customized behavior change instruments designed to measure the degree of change, 360-degree retests, behavioral observation, and interviews with participants' coaches. Each of these methods is briefly addressed in Table 9.1 (for a more detailed discussion and sample tools, see Hannum and Martineau, 2008).

One of the most central evaluation questions has to do with whether an individual "improved" as a result of training. Stakeholders want to know the degree to which performance on certain competencies has increased. This question is hard to answer, and there are several approaches for doing so. One of the most easily understood approaches is to use a pre/post-initiative assessment. Basically the same assessment is used before and after the intervention takes place. This works best when the competencies are specific and the same raters are available both before and after the intervention. Realistically, that often is not the case, and the same raters are not available or the competency is very general. Once the raters change, it is hard to tell if there are any actual changes. An alternative approach is to assess the degree of change with a special 360-degree assessment designed to measure change with a single administration of a survey. In this type of evaluation, the same rater is asked to assess the individual both before and after the leadership development initiative; thus, it allows the assessment of change on a single behavior or set of behaviors using data from the same group of raters. For example, raters would assess the extent to which a person exhibited positive change following an intervention. (For more discussion on the measurement of change, see Hannum and Martineau, 2008, and Martineau, 1998.) The bottom line is that assessments of change, although difficult to conduct, provide useful information about an intervention.

Methods to Measure Group and Team Outcomes If an initiative has been targeted at individuals but group- or team-level outcomes are of interest, individual-level outcomes can be aggregated as a way of determining impact at

Table 9.1
Evaluation Methods for Evaluating Individual Outcomes

Method	Description
Daily evaluations	Brief surveys or forms used at the end of each day of a program to capture participants' reactions and reflections on the value of the day. Provides formative feedback for staff.
End-of-program evaluation surveys	Surveys or forms used at the end of each major component of an initiative (for example, a face-to-face program, a coaching engagement) to capture reactions from participants on the extent to which the program met its objectives. Provides formative feedback for the program staff.
Expectations-benefits comparison	Surveys or forms used to capture from participants their expectations prior to a program and the perceived benefits after a program. Comparison of data provides insights on whether the program met participants' expectations.
Interviews or open-ended questionnaires	Semistructured interviews conducted by phone or in person to capture quantitative and qualitative data from participants or stakeholders on their experiences with the program at any point before, during, or following a program.
Learning surveys	Surveys designed to measure participant retention of factual information from a program. The same questions are asked once before the program and once immediately after the program.
Tracking action plans and progress toward goals	Surveys or online tracking platform used to determine to what extent participants have accomplished goals set as a result of a program. The survey can also be used to identify barriers to goal accomplishment, strategies to overcome barriers, support resources available to participants in carrying out their goals, and anticipated challenges in fully completing the goals if they have not already been achieved. This is typically administered three to six months after program.

Table 9.1
(*continued*)

Method	Description
Customized change surveys	A survey of participants that can include their supervisors, peers, and direct reports, with a focus on measuring to what extent participants' behavior has changed since participating in a leadership development program. Focuses on specific competencies that are expected to change as a result of the program. Usually administered three to six months after the program.
Pre/post-administration of 360-degree assessments	A 360-degree assessment administered once before the program and once again twelve months after the program to determine changes in participants' attitudes or behaviors.
Behavioral observation	Participants observed to determine changes in behaviors and attitudes taking place in the workplace. Observations take place prior to, during, or after the program, or at all three points.
Interviews with or surveys of participants' coaches	Telephone, in-person, or online data collection from coaches to gather data on critical stumbling blocks for participants, successful strategies used, and status of goals or outcomes. Usually conducted after at least two coaching sessions have occurred.

the group level. For example, changes in individual-level behaviors measured by a customized degree-of-change survey can be aggregated into a group report representing all individuals at a certain organizational level in a particular work group.

However, for measuring outcomes unique to groups or teams, additional commonly used methods include focus groups, group dialogue (see Senge, 2006), tracking of team action plans and progress toward goals, observation of team meetings, and interviews with the team coach about the progress of the team. These are briefly overviewed in Table 9.2. (Additional information can be found in Hannum and Martineau, 2008.)

Table 9.2
Methods for Evaluating Group and Team Outcomes

Method	Description
Focus groups	Semistructured discussion with groups or teams to gather their perspectives about the program, changes made, barriers encountered, and strategies used to make changes. Can be conducted during or after the program.
Group dialogue	Observation of team members interacting, with a focus on exploring perspectives and insights more deeply than in a focus group. Can be conducted during or after the program.
Tracking action plans and progress toward goals	Use of surveys, interviews, or online goal-tracking platform to track accomplishment of team goals. Also used to identify barriers, strategies to overcome barriers, support resources, and specific challenges faced in reaching remainder of goals. Can be conducted after the program; specific timing depends on the type of goal or action plan.
Observation of team meetings	Observation of team interactions and team effectiveness in working on shared tasks and goals. Carried out before, during, and after the program to identify changes over time.
Interviews with team coaches	Questions designed to gain insights into a team's critical stumbling blocks, team dynamics, successful strategies the team has used in working toward its goals, and the status of the goals or outcomes themselves. Can be conducted after at least two coaching sessions have occurred.

Methods to Measure Organizational Outcomes The specific types of organization-level outcomes targeted by leader development initiatives often vary by sector. For example, in for-profit organizations, goals are often centered on better financial performance and increasingly include outcomes such as improved employee engagement, collaboration across boundaries, and customer satisfaction and loyalty, which are linked to business outcomes. In nonprofit and educational organizations, the targeted outcomes are usually focused on achieving social impact, attracting and leveraging resources, improved performance of core functions, and expansion of services to clients (Russon and Reinelt, 2004).

Some of the methods used at CCL to assess organizational impact are climate and culture survey retests, assessment of organizational systems change, assessment of return on investment, workplace statistics, document analysis, and assessment of customer satisfaction. These are briefly reviewed in Table 9.3. (Additional information can be found in Hannum and Martineau, 2008.)

Challenges in Measuring Organization-Level Outcomes Some challenges in assessing organization-level outcomes are worth noting. Traditionally, organization-level expectations of leader development may remain unfulfilled for at least three reasons. First, many organizations still take an event approach to leader development, using only a single strategy rather than a longitudinal, multiple-component development strategy involving top decision makers, or they string together a set of unrelated events.

Second, the target of leader development is typically individuals only rather than also enhancing the connections between individuals or groups that share common work. CCL has expanded this by working with organizations to develop their collective leadership capability through interventions targeting the organization. These interventions focus on helping the senior leaders of the organization create change that will enable the organization to accomplish its strategic priorities and often engage a broad selection of the organization's members in the intervention.

The third reason expectations are not met is that even if the productivity of organizations is improved by making managers better leaders (as individuals, groups, or teams), many other factors are also at play. No leader or leadership development program can insulate a company against economic downturns, protect a school system from the impact of a lack of parental involvement or teacher shortages, or prevent a service-oriented nonprofit from experiencing government budget cuts or changes in funder priorities. The benefit of leader and leadership development is in boosting the capacity of individuals, groups, teams, and organizations to effectively manage and address these types of challenges, recognizing that they do not have control over all aspects of them.

Nonetheless, there will always be interest and value in documenting impact on the bottom line. Toward that end, it is important to design developmental experiences that align with the strategy of the organization or community, implement evaluation processes that measure whether such improvements occur, carefully assess the effects in all possible domains, capture changes at the work

Table 9.3
Methods for Evaluating Organizational Outcomes

Method	Description
Climate survey retests	Survey administered to all employees or a sample of employees in an organization to assess changes in employee satisfaction with specific features of the organization, such as pay and benefits, leadership, and opportunities for development. Survey is administered at least once prior to the initiative and once at an appropriate time after the initiative (no less than one year between pre- and post-assessment to allow organizational change process to take place).
Culture survey retests	Survey administered to all employees or a sample of employees in an organization to assess changes in the accepted behaviors and values that pervade the organization. The survey is administered at least once prior to the initiative and once at an appropriate time after the initiative (no less than one year between pre- and post-assessment to allow the cultural change process to take place).
Assessment of organizational systems change	Survey or interviews of employees or a sample of employees in an organization to assess changes in systems-level outcomes of leader and leadership development, such as operating procedures, learning processes, human resource policies, and formal and informal communication structures. The survey or interviews are administered at least once prior to the initiative and once at an appropriate time after the initiative (no less than one year between pre- and post-assessment). More complex changes will take more time to become evident.
Return on investment (ROI)	Assess the costs and benefits of a particular developmental experience, isolate its effects, and determine the relative financial impact of the experience. Requires data collection and calculations prior to the initiative. Final calculation of the ROI is performed six to eighteen months after the program ends.

Table 9.3
(*continued*)

Method	Description
Workplace statistics	**Analysis of changes in related outcomes such as absenteeism, communication breakdowns, customer loyalty, customer satisfaction, employee turnover, and new products and services developed. Data are collected and analyzed at least once prior to the initiative and once at an appropriate time after the initiative (no less than one year between pre- and post-assessment). More complex changes take more time to become evident.**
Document analysis	**Analysis of the organizational documents to understand the history or background of a program or situation, the people and activities involved, and the frequency or occurrence of various situations. Helps deepen understanding of the values, sentiments, intentions, or beliefs of the sources or authors as they relate to the expected outcomes and context of the program. Data are collected throughout the program or initiative, including for an appropriate time after the program ends.**
Assessment of customer satisfaction	**Analysis of customers' perspectives of changes in customer service (for example, communicating better both internally and with customers and better understanding customers' needs). Data are collected at multiple points in time before and after the program.**

group and organization level (in satisfaction, climate, culture, systems, and productivity), and examine the reasons for change and lack of change at that level.

Measuring Outcomes at Multiple Levels A critical aspect in designing the evaluation is choosing methods to address outcomes at multiple levels, as we are doing in our work with the nonprofit community health initiative. To measure change at the individual level, we are using end-of-program evaluation forms, success stories submitted to online forums, tracking of action plans and goal attainment, customized degree of behavior change instruments, and interviews with participants and their bosses. And to assess organization- and community-level outcomes, we are using degree-of-behavior-change instruments (which

includes organizational impact items), interviews with bosses and organizational leaders, and social network analysis.

Special Methods to Consider Three methods relatively new to the evaluation of leader and leadership development—return on investment, the success case method, and social network analysis—deserve attention:

- *Return on investment.* Return on investment (ROI) is becoming an established method for the evaluation of leader development (Phillips and Phillips, 2007). The methodology involves creating a formula relevant to the costs and benefits of a particular developmental experience, isolating its effects, and determining the relative ROI. Results show ROI in terms of percentages and dollar figures. For many organizations, these can be useful data in that they enable comparisons across a variety of interventions. At CCL we have used this methodology to measure the ROI of our open enrollment Leadership Development Program as well as a client-specific program and will be doing additional studies in the future.
- *Success case method.* The success case method (SCM), developed by Robert Brinkerhoff (2003), focuses on identifying the factors that are most influential in the success of a training program. It is designed to be less costly and time-consuming than, for example, the ROI method. Given its practical focus, it is of great interest to evaluators of leader development. The method is designed to gather evidence that a "normal working professional with no research expertise can use to determine whether the training did or did not work successfully" (Brinkerhoff, 2006, p. 9). It also helps to quickly identify what is not working or what is getting in the way of successful application on the job. We have used this method with some of our custom clients. It is useful to learn about contextual factors that have supported and hindered participants from applying what they learned from a leadership development initiative. When using this method, we typically conduct a survey of all participants and use the results to identify and interview those who have been most successful and least successful in on-the-job application and sustained behavior change.

• *Social network analysis.* Because building, managing, and leveraging relationships is key to effective leadership, leader and leadership development initiatives often aim to achieve outcomes such as enhanced networks, improved collaborations, improved sphere of influence, and improved cross-boundary work. Social network analysis can be used as a tool to understand and improve organizational effectiveness by mapping and measuring the nature and flow of relationships among people in organizations, communities, and teams. Companies like IBM, Accenture, and Mars have used it to determine how individuals are networked, who holds the most influence, and who needs to be more connected (Durland and Fredericks, 2005). In the community health leader development initiative, social network analysis is used to take three snapshots of cohort networks over time (baseline, sixteen months, twenty-seven months) to measure how relationships among groups of participants change over time as a result of the initiative. The tool helps stakeholders understand the nature and outcomes of those relationships including types of collaboration, sharing of information and resources, and peer support.

IMPLEMENTING THE EVALUATION PLAN

Once the evaluation methods have been identified, a comprehensive evaluation plan can be developed. To begin this step, we create a matrix to chart the methods that will be used to address each evaluation question, the timing with which the methods will be used, and the groups from which data will be collected. A sample matrix appears in Table 9.4.

Once the plan is established, it is time to put details to the methods. By this we mean constructing interview and focus group questions and processes and survey items, identifying the appropriate instrument to use, identifying which organizational data to collect, how to collect the data, and so forth. This step involves careful reference to the societal, community, or organizational challenges, leadership needs, targets for development, and desired outcomes so as to produce a set of evaluation methods that precisely capture all features of the initiative.

In implementation, it is important to collect only what the evaluation will use—not data that will not be analyzed and reported. Leaving data unanalyzed is wasteful in terms of both time and that of the people who provided the data.

Table 9.4
Evaluation Plan Matrix: Questions to Consider

Evaluation Questions	When Are the Data Collected?	What Method Is Used to Collect the Data?	What Are the Indicators of Change?	Who Manages This Step?	Who Responds to This Step?
How are participants applying what they learned in the workplace?	Three to six months	Survey questionnaire, interview	Percentage increase in knowledge and skills directly applied	Human resource development (HRD) group	Supervisors and participants
What impact has the initiative had on business performance?	Six months	Observation and multirater assessment (in specific areas of development)	Percentage increase in work quality, productivity, employer satisfaction, and employee satisfaction	HRD group	Supervisors, direct reports, and participants
Are participants receiving support for development and application of new competencies?	Three to six months	Survey questionnaire, interview	Support from supervisors and management Barriers to development	HRD group	Supervisors and participants

Such wastefulness causes frustration and breeds resistance to participate in data collection the next time around.

USING EVALUATION RESULTS

Evaluators should plan how they will communicate the evaluation's process and findings in a way that is useful to key stakeholders at critical points in time (Torres, Preskill, and Piontek, 2005). Torres et al. provide a comprehensive approach to communicating evaluation results with a focus on meeting the needs of various audiences and understanding how they best learn.

We cannot overemphasize how important it is that organizations actually use the evaluation results they gather. Evaluation is a crucial piece of organizational learning. By evaluating what we do and discussing the findings, we learn how leader development works and can begin to have conversations about how to make it work better. Evaluation results should inform discussions of other systems (such as reward systems, communication systems, and performance support systems) that are related to yet separate from leader development.

From evaluation results, we discover ways to improve the leader development system itself, as well as how to integrate it more effectively with other systems and make improvements in those systems. For example, the evaluation conducted with the Asian financial institution revealed that although participants found the leader development initiative to be a positive and useful experience, they did not feel the organization offered a fully supportive climate for development. Participants reported in surveys that they felt their jobs required them to be more concerned about completing tasks than learning new ways to approach their work. This is possibly due to the nature of emerging leadership where many generation Y leaders have a significant hunger for developmental experiences, frequent feedback about how they are doing, and promotion opportunities. In this case, the sponsors of the initiative shared these evaluation findings with other organizational leaders, and together they created a more supportive development environment in their organization by enhancing their mentoring initiatives, improving the involvement of supervisors in coaching and developing staff, and clarifying the organization's commitment to staff development through more effective communication. These changes strengthened the impact of the leadership development initiative.

REALITY CHECK: CHALLENGES IN EVALUATING LEADER AND LEADERSHIP DEVELOPMENT

We have outlined a comprehensive approach for designing and implementing evaluations of leader development initiatives that usually results in evaluations clearly connected to expected outcomes and organizational or community needs. However, an evaluation does not always go as planned, and various unexpected challenges can arise. Designing and implementing evaluations requires understanding and making trade-offs, as well as applying professional and ethical judgment. We have identified three common areas of challenge that merit attention in the planning and implementation stages: stakeholder influence and expectations, the role of context in the evaluation, and measurement challenges.

Stakeholder Influence and Expectations

We have advocated that key stakeholders be identified and involved in defining the purpose of the evaluation, surfacing expected outcomes of the leader development initiative, and identifying the types of data that should be collected for the evaluation. However, given the varying interests and needs of stakeholders, it can be challenging to integrate these expectations. Unexpected challenges may emerge when stakeholders share their expectations and engage in discussions about the purpose of the evaluation. Stakeholders may have varying levels of expectations for what an evaluation can demonstrate and expect different information about the impact of an initiative. In addition, when stakeholders come from varying cultural backgrounds, value differences may be involved. For example, an evaluation may involve an international funding agency, the government of a country, and implementing agencies and participants from several subcultures within that country. The evaluator needs to understand these differences and how they could affect the implementation of the program and the evaluation. Even when culture is not an issue, these challenges can exist.

One of our evaluations focused on a leadership development initiative with a number of teams from schools in a single school system. Stakeholders included a funding agency, the district leadership, and school teams made up primarily of each school's principal and some teachers. The funding agency ultimately wanted a stronger school system that would attract businesses to the community. The agency believed that stronger leadership capability at the school level would

enable site-based management, which would improve each school according to its unique needs. The school district's leadership also wanted stronger schools but would have chosen other avenues than site-based management to achieve this goal. The school teams embraced the idea of site-based management yet at times struggled to take on this level of leadership effectively. There was tension throughout the project among the district leadership, the funding agency, and the schools. Given this ongoing tension, the program's manager and evaluator met with members of the funding agency and the school system monthly to discuss issues as they surfaced, create alignment among the stakeholder groups, and jointly develop solutions to these challenges.

Although we cannot escape situations in which stakeholders' expectations are difficult to synchronize or integrate, it helps to put heavy emphasis on stakeholder engagement and the need to surface differences to resolve conflicts or answer questions as early as possible in the process. Discussions among stakeholders need to be transparent and open about the critical differences in values and needs.

Earlier in the chapter, we stated that participants in a leader development initiative should be considered a key stakeholder group. Their participation in the evaluation is needed (to respond to surveys, participate in focus groups or interviews, and so forth), and they are likely to be interested in the findings and how they are being used to make program decisions. Participants' support for evaluation can be influenced in several ways. First, we need to provide participants with clear information about how they will be asked to participate and how the data will be used. Second, participants need to know how they will benefit by participating in evaluation activities. Finally, participants are more likely to cooperate and participate in the evaluation if the environment in their organization is trusting and supportive and if the initiative is tied to a broader organizational effort.

The timing of evaluation is also critical to its successful involvement of stakeholders. Because it takes time to collect and analyze data systematically, stakeholders often get feedback more readily from informal, anecdotal sources. They may be ready to move forward with program changes before they receive an official report on the evaluation findings. We address this challenge by planning in advance when results will be given to stakeholders according to their needs, aiming to provide findings that are compelling, and discussing findings with key stakeholders to better understand the implications of the evaluation.

Understanding the Role of Context

Each evaluation takes place in a unique context that can have great influence on the planning and implementation of the leader development initiative and its evaluation. Because leader development is context sensitive, it is difficult to isolate the effectiveness of the experience from the influence, either positive or negative, of the circumstances: individual readiness and motivation; organizational strategy, culture, and support for change; and cultural influences. A leader development initiative will have limited impact at the organization level if the individual's organization or work environment is not supportive of and aligned with the desired changes.

We assess the key contextual factors at the early design stage to make sure the leader development initiative and the evaluation are designed with the situation in mind. For example, for our emerging leaders program for community health, it was clear that the initiative would be most effective for highly motivated participants who were also well supported by their organizational leaders. Therefore, participants were selected based on their individual readiness and motivation, as well as the commitment of their board of directors and manager to fully support their participation in the initiative. In the evaluation, we then ask participants and organization sponsors about their perceived supports and barriers to on-the-job application of leader development.

In another example, the perceptions of leadership in a war-torn country had an impact on leader development and its evaluation. Participants and program staff had vague and shifting expectations of what type of leadership was needed and who was prepared to and trusted to lead. Because everyone in the country was going through major cultural, political, and structural change, the benefits of leadership development were particularly hard to measure in the short term. The changes complicated the tracking of participants and other stakeholders and the chain of evidence linking intervention outcomes to impact (Campbell and Hannum, 2009). In this case, the external evaluators had not taken part in planning the intervention. Their job started after the programs ended. They needed to understand this context as part of the evaluation and incorporate its effect into the evaluation findings.

The trend toward globalization makes designers and evaluators work in increasingly cross-cultural environments. Evaluators must be knowledgeable about the cultural influences on leadership in the contexts within which they are working. The meaning of leadership and the expected outcomes of leader

and leadership development are perceived differently across societal cultures. Countries, subregions within countries, religious foundations, philosophical foundations, and organizations may have influences relevant to the development of leaders and leadership. Ultimately good leadership is sensitive to the context. Therefore, evaluation of leadership development must be defined well enough to take into account cultural factors so that evaluation findings are valid and reliable. Active and ongoing involvement of stakeholders throughout the design and implementation, especially those who understand the local culture, is critical to ensuring that the evaluation is valid and useful.

For example, engaging our key contacts from within our client organizations has been critical in our interpretation of some evaluation data. They know the culture of the organization and region best and are well equipped to interpret the true meaning of changes and contextual influences highlighted through the evaluation. If an evaluation were conducted in a company in Indonesia, for example, one could misinterpret data showing that poor performers stay with the company over time but are moved to various positions. The evaluator could make an assumption that conflict avoidance was leading the organization to move low performers to other units within the organization rather than dismiss them from their jobs for poor performance. Yet because Indonesian culture strongly values respect for others, it is much more likely that the low performers were being moved to other units by managers who were intending to help the individuals reach their potential and, in essence, address conflict rather than avoid it. These kinds of subtle differences can have a major impact on evaluation conclusions and recommendations.

Leadership is built on shared values, and the relative importance of particular values can vary by context and culture. Involvement of stakeholders who understand the culture can make an important difference in the effective interpretation of data. Research on cultural differences as it relates to leadership can be helpful in understanding cultural dimensions and how they vary among countries (Chhokar, Brodbeck, and House, 2007).

Cultural context can have a major influence not only on the success of a leader development initiative, but also on the specific design of its evaluation. It is important for evaluators and designers to be aware of their own values, assumptions, and expectations as they relate to organizational and societal cultural differences. For example, U.S. culture in general is less protective of personal information than in Europe, where governments adhere to safe harbor

laws to protect privacy beyond the scope of U.S. laws. This can have an impact on the kinds of data that can feasibly be collected for an evaluation. In addition, document review and face-to-face interviews, with written consent and assurance of anonymity, may work better than surveys in many cultural settings and in multicultural situations (Russ-Eft, 2004).

We recommend that evaluators unfamiliar with a context, whether a sector, country, or program, immerse themselves in the context for long enough to become more familiar with it or partner with someone who is. For historical reasons, some cultures perceive evaluation as threatening. For example, in some countries, respondents may fear that answering questions accurately would contradict an official government position or expose them to other risks (African Evaluation Association, 2002). We have found that the degree to which people will offer criticism publicly varies by culture. In some cultures, it is more important to save face for an organization than to provide constructive criticism.

The evaluator needs to be aware of these types of issues and be prepared to address them as part of the planning process (Russ-Eft, 2004). Instead of asking in an interview, "How valuable was this program or service?" we ask for specific information about components of a program to understand what worked and what did not work as well. This is much more culturally acceptable than potentially saying a program had little or no value. This approach makes analysis of the data more challenging because the evaluator has to interpret value from the examples that are given.

Finally, the interpretation of evaluation findings can be heavily influenced by stakeholder values and culture. Involving diverse stakeholders in interpretation of the findings is critical to minimize biases that evaluators may bring to the interpretation.

Measurement Challenges

The intangible nature of leadership and its development in individuals, teams, organizations, and communities presents measurement challenges in evaluating the improvement in critical skills and related outcomes. Leader and leadership development initiatives take place in diverse contexts and include leaders with differing abilities—making no two initiatives exactly alike even if the design is identical. In addition, leader development initiatives are increasingly designed to include a series of formal developmental experiences (versus a single event-based design) that together are designed to reach specific outcomes. It is

harder to measure the impact of an initiative that includes multiple components (face-to-face sessions, one-on-one coaching, virtual learning, online goal tracking, and action learning, for example) over the course of five to ten months than a single program event. It is also challenging to identify common measures of development to ensure the validity and reliability of the data and develop survey items that are universally understood and valid as a measure of behavior change and related impact. We described earlier in this chapter our approach to evaluating leader development keeping all of these challenges in mind. Here we discuss some of the implementation issues that arise in relation to these measurement challenges.

Once an evaluation is under way, expectations are often high for its findings to demonstrate impact. However, it may not become clear until the implementation stage that expectations are unrealistic. Evaluation data may show that although improvements are taking place, they are not at the expected level. To address this situation, it is helpful to discuss the level of change that is reasonable to expect at different times. For example, although it is important to develop leaders to fill a leadership pipeline, a group of high-potential leaders may not show as much immediate growth in a given area of competence as expected due to their already high levels of performance. In cases such as this, evaluators should discuss with key stakeholders the targeted levels of change, look for normative data for comparison, and develop performance benchmarks that can be used along the way in the initiative, especially if outcomes are likely to occur slowly over time.

Another challenge lies in measuring more complex types of outcomes, such as behavior change and its relationship to actual business or community results. Despite thorough evaluation planning and design, the evaluation may face challenges of measuring impact as changes take place in the overall context of the initiative or as obstacles to successful data collection surface. For example, a major reorganization or turnover in senior leaders can present significant barriers to the successful implementation of an evaluation designed to measure the impact of a comprehensive leader development initiative over a twelve-month period. Participants may not be able to apply what they have learned in the same way they would in a more stable environment. Plans to measure participant goal accomplishment or use specific business metrics as an indicator of success can be easily thwarted when the organization is going through major upheaval and goals and business metrics are changed in the process.

Even when leader development takes place in a stable or predictable environment, measuring change is highly dependent on the quality and availability of data. This can vary according to a client organization's monitoring and evaluation systems as well as its support for evaluation as part of the organizational culture. If most of the participants do not expect data they provide through surveys and interviews to be used effectively or handled appropriately, they will not likely reply to surveys or agree to participate in interviews. Also, we have found that we can increase participants' motivation to provide evaluation data by incorporating assessment into program activities in a meaningful way. For example, when our 360-degree behavior change instrument is used, participants receive an individual feedback report that can be integrated into a feedback session with an executive coach. We receive aggregate data for the evaluation, and participants receive individual data to help them further understand how they are perceived by their boss, peers, and direct reports and plan for further development.

Although some of these implementation challenges cannot be predicted and must be handled as best as possible when they arise, getting input from representatives of the target participant group early in the planning process can help ensure their support during the implementation of the evaluation.

Program Evaluation Standards

Evaluating leader development is a dynamic process that almost always includes trade-offs in decision making, multiple challenges, and even ethical dilemmas. We have provided some guidance on how to prepare for and handle some of the most common challenges. For further guidance on all aspects of program evaluation, we recommend referring to standards developed by professional evaluation associations. For example, *The Program Evaluation Standards* provides a guide for measuring educational and training programs in multiple circumstances (Joint Committee on Standards for Educational Evaluation, 1994; see also www.eval.org). Similar sets of evaluation standards have been adapted and developed by international organizations such as the United Nations and the U.N. Development Programme, as well as many national evaluation societies, including those in Africa, Australia, Canada, Germany, Great Britain, Italy, and Switzerland. Many of these are listed on the Web site of the European Evaluation Society (www.europeanevaluation.org).

EVALUATION AS A WAY TO LEARN ABOUT THE PRACTICE OF LEADER AND LEADERSHIP DEVELOPMENT

Organizations that engage evaluation as part of a larger learning culture are more likely to attempt to discover what effects the leader development program is having, what can be improved to boost the positive effects even further, and how it contributes to the mission of the organization. In these organizations, people learn to ask, "What can we learn, and how can we improve?" Over time, this mind-set helps produce a learning orientation in the organization or community as a whole.

Hoole and Patterson (2008) share best practices from organizations where evaluation is used to foster a learning culture. The most critical practice they found was the commitment of organizational leaders in "transforming the role of evaluation from one of basic reporting and accountability to a true process of continuous organizational learning" (p. 93). A variety of approaches exist that are commonly used to promote learning throughout the organization. Among these are participatory evaluation, collaborative evaluation, empowerment evaluation, and evaluative inquiry (Cousins and Earl, 1992, 1995; Fetterman, 1994, 1996; Preskill and Torres, 1999). These approaches are characterized by collaborative and participative relationships that empower program participants to contribute directly to their own learning and that of others. Through reflection, dialogue, and action planning, participants play a role in collecting evaluation data while increasing their own understanding of what they learned.

Taking this perspective to another level, it is possible to determine whether organizational learning has resulted from an evaluation. Most directly, one can assess the extent to which the results and recommendations of the evaluation have been used to make improvements in relevant programs and processes. Less directly, it is also possible to assess whether evaluation has led the organization to have a stronger learning culture that encourages sharing new ideas and whether it has processes in place to support organizational learning (Hoole and Patterson, 2008).

LINKING EVALUATION TO DIRECTION, ALIGNMENT, AND COMMITMENT

A current area of exploration for CCL is using evaluation practices to assess leadership development in the context of direction, alignment, and commitment (DAC) as outcomes of leadership development. Leadership development is

a type of intervention used to create change in individuals, groups and teams, organizations, communities, and societies. Often the change is targeted at multiple levels and builds on itself. The DAC framework presents a theory of change indicating that leadership culture influences leadership outcomes, which in turn influence longer-term collective outcomes. Drath et al. (2008) explain that a leadership culture is a relatively consistent pattern in a collective's approach to the creation of DAC and that culture is created through the combination of leadership beliefs (individual and collective beliefs about how to produce DAC) and the resulting practices (an individual behavior or pattern in the behavior of a collective aimed at producing DAC). Leadership culture then leads to leadership outcomes, that is, DAC.

Evaluation enables us to examine changes in leadership culture; the leadership outcomes of direction, alignment, and commitment; and the longer-term collective outcomes of leadership development. For example, evaluation can help an organization understand how and when a team develops a set of beliefs and practices that enable true collaboration and shared leadership to take place. Evaluation can help organizations learn how the team sets direction for its work and the work of others; how the team aligns itself and others to the direction identified; and how the team inspires commitment among itself and with others. An evaluation can help an organization understand how changes in the leadership culture and the leadership outcomes of direction, alignment, and commitment lead to organizational outcomes such as improved effectiveness, increased market share, improved ability to meet customer needs, and improvements in meeting the organization's mission. Evaluation can also help an organization understand why the desired outcomes did not occur: because the leadership beliefs were not established and aligned, because the practices were not effective, or because the team did not succeed in gaining the full commitment of those necessary to make the desired changes.

CONCLUSION

Evaluation of leader and leadership development is a complex undertaking, yet there is no question that it must be done—and done well—to support organizations in their efforts to improve human and organizational performance.

In this chapter, we have discussed each of essential steps in the evaluation planning process, as well as some of the inherent challenges. We have also

discussed and illustrated the importance of using evaluative thinking as an approach to design and implementation of leadership development initiatives. Our experience at CCL has shown us that effective evaluation of leader development must be customized for each initiative, yet draw from a common set of methods and use the process outlined in this chapter to produce continuity across evaluations. Our experience has also shown us that this approach to evaluation of leader development produces results that are highly informative for all key stakeholders, including those in the fields of evaluation and leader development. Evaluation is a valuable tool in the process of leader development and should be turned to whenever its results are likely to be used for program and curriculum improvement, demonstration of impact in support of decision making, and communication of results for creating awareness.

PART TWO

Developing Leadership for Organizational Challenges

chapter TEN

Developing Team Leadership Capability

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Organizational life is complicated. A shifting competitive landscape, information overload, and the need to do more with less all contribute to the dizzying pace and ambiguity. In an attempt to deal with these challenging demands, most organizations have embraced teams as a way to structure work, relying on them to forge success. As the saying goes, "All of us are smarter than any one of us." Teams have become ubiquitous in organizations around the globe. Automotive production teams assemble the cars we drive; research teams develop new drugs that save lives; airline crews transport millions safely; surgical and firefighting teams save lives with skill and feats of heroism; governmental negotiation teams decide the fate of nations; sports teams thrill (and sometimes disappoint) us with their feats on the field of play; and top management teams make the decisions that can have a profound impact on organizations and their workers.

But it is not enough to simply put a group of people together and point them toward a dimly imagined goal. Although human beings have been working together to accomplish vital outcomes since the beginning of humanity, teamwork does not come naturally to most people. Several key questions about successful teamwork persist. For example, one of the hallmarks of teams is that they are often given considerable autonomy or discretion in performing their work and making decisions. They then must manage many of their own activities or otherwise self-regulate their behavior. So how do teams effectively lead themselves? Despite the relative autonomy they may enjoy, most teams report to a formally designated sponsor outside the team and are never given complete autonomy. What is the role of such external leaders in promoting team effectiveness? Finally, sometimes teams succeed and sometimes they fail. What causes one team to succeed and another to fail?

Just as individual leaders are faced with the challenge of generating direction, alignment, and commitment (DAC) among their followers (see the Introduction), teams must also have appropriate DAC. This chapter describes a model of leadership in teams: the challenges teams face, the team needs that arise from these challenges, and the role of leadership in teams. Throughout the chapter, we discuss how to develop team leadership capability (TLC) and, consequently, DAC.

Developing TLC involves increasing the collective capacity for satisfying key team needs in order to meet the challenges they are facing. There are many ways to develop this collective capacity, ranging from increasing knowledge and awareness of the components of team effectiveness to deliberately intervening to fill specific team needs. Before we get to our model of team leadership, however, we describe some basic issues of teams and their leadership processes.

THE NATURE OF TEAMS AND TEAM LEADERSHIP

Teams or work groups are composed of individuals who to some degree (1) share a social identity as a unit, (2) possess common goals, (3) are interdependent in terms of tasks or outcomes, (4) have distinct roles within the team, and (5) are embedded in a larger organizational and societal context that they influence and are influenced by (Kozlowski and Ilgen, 2006). In the spirit of inclusiveness, we use the terms *group* and *team* interchangeably. Although some people distinguish teams from groups, the differences tend to be ones of degree rather than kind (Guzzo and Dickson, 1996). Thus, all teams or groups will vary along these dimensions, and there is no precise point at which a "group" becomes a "team."

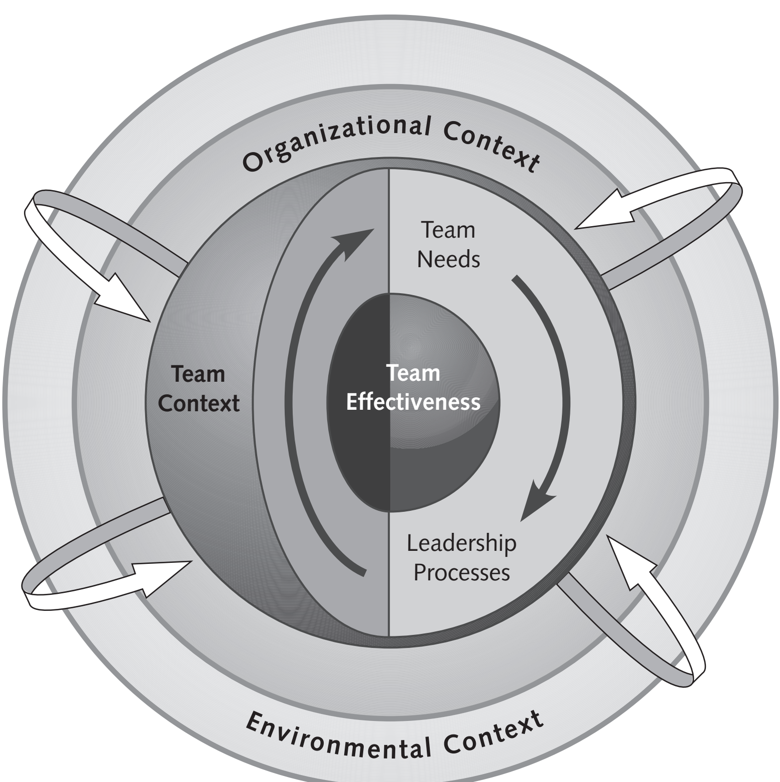
As teams work together over time, they move through two interrelated kinds of performance cycles. The first occurs with the passage of time as team members gain experience working with one another, and they move through a set of fairly universal experiences. What matters early in a team's life is likely to differ from what matters later, in part because of the accumulation of experiences and the history of the team. The second kind of performance cycle is episodic. As teams interact, they cycle through distinct planning and action phases (Marks, Mathieu, and Zaccaro, 2001). Planning phases are times of transition when teams evaluate and plan for upcoming work. Action phases are times when teams perform tasks in the fulfillment of a goal. As teams work together over time, they cycle repeatedly through planning and action phases, and their needs vary across these phases.

Finally, we view team leadership as a process rather than a person. Thus, leadership can arise from inside and outside the team (Day, Gronn, and Salas, 2004) from four potential sources. The first source is formal internal leadership: a single team member is appointed as the leader. The second source is formal external leadership: a leader outside the team (one who does not perform any of the day-to-day tasks with the team) is formally responsible for the team. External leaders are often called team sponsor, team coordinator, team coach, or project leader. The third source is informal internal leadership: this includes emergent leadership, meaning that one team member emerges informally as a leader in the team; and shared leadership, meaning that team members either share leadership responsibilities equally or dynamically trade off the leadership role. The fourth source is informal external leadership, which occurs when individuals outside the team take it on themselves to act as mentors to the team champions for the team's ideas.

TEAM LEADERSHIP MODEL

We now articulate our view of leadership in teams. Figure 10.1 depicts our overall view. At the center of the model lies team effectiveness. In our view, a team's effectiveness can be gauged by assessing the team's actions, feelings, and learning. Action-oriented indicators of effectiveness include achievement of team goals, how much members behave in prosocial supportive ways toward other members and the team as a whole, and how much the team as a whole behaves in prosocial supportive ways toward the organization. Feeling-oriented indicators of effectiveness include how satisfied team members are with the team and fellow team members and how committed to and identified members feel toward the team. Learning-oriented indicators of effectiveness include the efficiencies

Figure 10.1
Team Leadership Model



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created by the team, the extent to which effectiveness improves over time, and how effectively a team's approach adapts to changing conditions.

In order to be effective in the action, feeling, and learning domains, certain team needs must be satisfied. By ''team needs'' we mean the things that enable a team to regulate itself as it plans and executes in service of a goal. As Figure 10.1 suggests, these needs are shaped by the team and its organizational and environmental contexts, which create a number of challenges to a team's DAC. The challenges arise as team members work together, cycle through planning and action phases, and operate in different contexts. Team leadership, also shaped by context, is a significant force in satisfying team needs (Hackman and Walton, 1986). Over

Figure 10.2
Challenges, Needs, and Team Leadership Functions

Challenge Identification	Key Team Needs	Team Leadership Functions
Team Context *Work Design* • Task design • Roles and goals *Member Composition* • Member competence • Member diversity • Member preferences • Multiple team identity **Organizational Context** *Organizational Characteristics* • Climate and culture • Organizational structure • Business strategy *Organizational Systems* • Reward system • Training and development system • Information system **Environmental Context** • Industry dynamics • Competitive environment • Societal context • National cultural values	**Planning Phase Needs** • Team charter • Goals • Team norms • Task performance strategy • Shared understanding • Team memory **Action Phase Needs** • Monitoring output • Monitoring systems • Coordination • Communication • Monitoring team behavior • Managing boundaries **Interpersonal Needs** • Motivation building • Psychological safety • Emotion management • Conflict management	• Compose the team • Develop the team's mission • Set team goals and establish performance expectations • Structure and plan the team's work • Secure resources for the team • Perform the team's task • Solve team and task problems • Monitor the team • Train and develop the team • Encourage team self-management • Challenge the team • Prepare the team • Provide team feedback • Make sense of events • Manage the team's boundaries • Support the team's social climate

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time, team needs and team leadership processes come to influence each other dynamically (as suggested by the inner arrows in Figure 10.1).

Figure 10.2 identifies the specific types of team challenges, needs, and leadership functions that we spend the rest of the chapter discussing. It complements Figure 10.1 in summarizing our view of team leadership and can aid teams in answering the kinds of team leadership development questions discussed later. We first discuss the myriad challenges arising from the team, organization, and environmental context. We then describe the needs that can arise in a team as it encounters challenges and cycles through the planning and action phases and offer extended examples about how to develop leadership capability in a team.

TEAM CHALLENGES

The internal context of a team and its broader organizational and environmental context are subject to shifting events. In innumerable ways, the resulting challenges have an impact on the team's needs, leadership processes, and effectiveness. Challenges are barriers or obstacles to team effectiveness and can directly or indirectly affect the team's ability to create and maintain DAC. Some kinds of challenges all teams face; other kinds are more problematic for particular teams, organizations, and environments.

Challenges of Team Context

Two primary challenges arise within the team itself: challenges in the design of the work and challenges in team composition. Work design challenges can arise from both the nature of the team's task and how the team is structured to perform the tasks. For example, the key elements of a team's task may be too ambiguous or too complicated and multifaceted for ready assimilation. Alternatively, the work may require a level of interdependence that is not consistent with how the team is structured. If the work requires close coordination in real time and team members are distributed at different locations around the world, communication will be difficult. A flawed work design can preclude the setting of a clear and compelling direction for a team and can also create alignment problems.

A number of challenges arise from the team's composition. Teamwork will be hampered if the designated members of the team lack the requisite knowledge, skills, abilities, and experience for the team's task. Outcomes will also be suboptimal if team members lack both needed teamwork skills and successful prior team experience. Team member diversity (in values, ethics, beliefs, training, seniority, education, and expertise) provides the potential for the development of robust solutions to the team's task; however, it can also lead to substantial conflict and difference of opinion about the team's direction and working methods, thereby threatening team alignment and commitment. Too little diversity in the team can preclude creative, innovative outcomes.

Finally, if members of the team are also working on demanding projects on one or more other teams and thus identify with multiple teams, they can be distracted by the demands of these other obligations and get caught in conflicting loyalty binds, thereby threatening team commitment.

Challenges of the Organizational Context

The organization within which a team resides can also challenge the team in many ways. For example, the climate and culture of the organization may be an issue. Some organizational cultures do not support team-oriented work. In such cultures, silos rule, and competitive individualism is the dominant operating style. Diversity of thought and experience are not valued, and there is little collegial interchange among organization members operating in different locations and different parts of the business.

Organizational structure also can threaten teamwork and alignment and commitment within the team. Rigid and hierarchical organizational structures hinder the work of cross-functional and cross-level teams. Trust issues and conflicting loyalties continually undermine effective work.

An organization's business strategy can thwart teamwork. Some business strategies, by their very nature, are inconsistent with work structured around teams. If the organization's fundamental strategy has core elements of speed, cost reduction, and simplicity, teams within the organization will have difficulty contributing to these strategic goals. Teams are most effective in doing complex, ambiguous, interdependent tasks. In order to work effectively, teams need resources: time, money, technology, talent, and access. If the organization provides insufficient resources to the team, does not effectively deploy the resources where they are needed, or cuts the team's supply of resources while it is under way, team commitment will flag, and team performance will suffer commensurately.

It is a truism of organizational life that human beings will expend great effort in the pursuit of desirable rewards. If the organization's reward system focuses on individual performance only, members of a team will be more likely to devote their time and energy to activities that will contribute to their individual performance. The needs of the team will often conflict with their individual needs. Such dilemmas cause both alignment and commitment to deteriorate.

An organization's training and development system can create challenges for the team. If the organization forces ill-equipped members onto teams, places little value on developing effective teamwork skills, provides no training in effective team functioning, provides no training in effective team leadership functions, and provides no training in working effectively across diverse team member demographics, productive teamwork is unlikely to occur except inadvertently.

Challenges of the Environmental Context

Arising outside the organization, environmental challenges can have a broad impact on it and its teams. Changes in the competitive environment tend to have a dramatic impact. If the economy surges or plunges, market conditions shift, competitors enter or leave the market, the dynamics of competition shift dramatically, or the organization's strategic initiatives fail to gain traction, the organization must react. To keep its direction and alignment, the team must accurately read these reactions and adapt accordingly.

When team members come from different national cultures, their diverse values can pose numerous challenges to the functioning of the team. Different cultures have different values, which are reflected in the expectations individuals bring to the team. The domain of these diverse expectations is vast; it ranges from how decisions are made to how authority is exercised, how members address each other, and how rewards are distributed. For example, when global virtual teams are created, some team members likely will be from individualist cultures and others from collectivist cultures. These differing cultural values are likely to produce differences in how individuals orient themselves toward the team and approach the team's work. Such differences can make it hard to reach consensus on direction and alignment. Conflicts arising from such sources have stymied the performance of many multinational teams.

A FRAMEWORK OF TEAM NEEDS

These challenges make it difficult to establish DAC in a team. In addition, they produce certain needs in the team that must be satisfied in order for a team to perform effectively. These needs can be thought of as more specific examples of DAC across the planning and action phases of a team's performance cycle, as well as needs related to interpersonal processes. These team needs are summarized in Table 10.1 and briefly discussed. Following each section, we provide an extended example of how team leadership capability was developed (in relation to the needs) in a team we have worked with in the past.

In considering these needs, it is important to keep in mind that leadership is the primary mechanism through which these needs are satisfied. A variety of leadership functions can satisfy them (see Figure 10.2 and Morgeson, DeRue, and Karam, in press). Some leadership functions are typically performed by the

Table 10.1
Definitions of Team Needs

Team Need	Definition
Planning phase needs	
Team charter	Overall objectives, resources, and constraints are defined by or for the team
Goals	Identification of measurable team output and related milestones
Team norms	Agreed-on standards of behavior that regulate team member performance during and between interactions
Task performance strategy	Development of overall approach to the task and key actions to achieve goals
Shared understanding	Identification of key assumptions and beliefs that will affect performance to create a common perspective
Team memory	Inventory of relevant knowledge, information, and skills available to the team (and gaps)
Action phase needs	
Monitoring output	Tracking and communicating progress toward task completion and goal accomplishment
Monitoring systems	Tracking resources available to the team (people, budget, information) and tracking the external environment (stakeholders, changing conditions)
Coordination	Prioritizing and orchestrating the sequence and timing of key activities and events
Communication	Ensuring high-quality communication within the group
Monitoring team behavior	Providing feedback and coaching to help members perform tasks or ensure others complete those tasks
Maintaining boundaries	Ensuring high-quality information flow with other groups or units, including acquisition of resources, coordinating activities, and advocating team interests

(*continued*)

Table 10.1
(*continued*)

Team Need	Definition
Interpersonal needs	
Motivation building	Generating a sense of personal accountability for individual and team performance, team cohesion, and motivation toward task accomplishment
Psychological safety	Developing a shared sense of trust so team members can openly speak their minds without fear of rebuke or retaliation
Emotion management	Ensuring that setbacks and frustration (and even overconfidence) do not undermine team performance
Conflict management	Ensuring that differences of opinion do not prevent task accomplishment; helping team have healthy debate without personal acrimony

nominal team leader or team sponsor, but many can be equally well performed with initiative and savvy by a capable team member or a coalition of team members. This is in keeping with the idea that team leadership resides in a set of processes or functions, not necessarily a person or a position.

Planning Phase Needs

A team is in a planning phase whenever it is planning actions it is about to take or evaluating the impact of actions it has just taken. During this phase, six team needs arise (see also Table 10.1):

• *Team charter.* This includes making sure that the overall purpose of the team is clear, the key tasks to be performed by the team are understood, the key challenges and opportunities facing the team are identified, and the resources the team needs are identified and available. Having a clear team charter is essential for teams because it helps focus energy, enables effective resource allocation, and can serve to inspire extraordinary effort.

- *Clear and specific goals.* Key goals must be identified, potentially competing goals must be prioritized, and individual goals or team subgoals must be aligned with the team's broader goals. For team goals to be effective, they should be set in such a way that all team members are committed to them (for example, participatively), be difficult but achievable (realistic), and be time bound such that there are deadlines for goal accomplishment. Having clear, specific goals is essential for teams because goals help team members regulate their task-related effort. They provide direction to team member behavior, encourage team members to exert additional effort, and foster task persistence when difficulties arise.
- *Team norms.* Team norms are expectations about appropriate team behavior. This includes agreed-on standards that regulate team member behavior before, during, and after task performance. Clear norms have at least two important benefits. First, team norms prescribe how routine interactions among team members will occur. This might include how the task work is divided, how disagreements are to be resolved, and the kind of participation expected of team members. Second, effective norms provide guidance as to how team members should act when they find themselves in ambiguous or novel situations.
- *Task performance strategy.* Formulating strategy includes developing an overall approach to the task, deciding what actions are needed to accomplish the team's goals, and revising existing (possibly ineffective) approaches. Having a task performance strategy is critical to team success because it enables the team to have a coordinated and integrated approach to the task. It also allows the team to more systematically harvest the ideas and plans individual team members might have. Not only do teams commonly fail to develop task strategies prior to performing, they typically encounter difficulties in adjusting or revising the plan of action when under way. Having a task performance strategy is critical to team success because it enables the team to have a coordinated and integrated approach to the task. It also allows the team to more systematically harvest the ideas and plans individual team members might have.
- *Shared understanding.* Shared understanding within the team must cover such things as the tasks to be performed, the challenges the team faces, the tools or resources at the team's disposal, the desired interaction patterns in the team, and the working relationships among team members. By possessing a shared understanding, team members are better able to coordinate their efforts and respond to the variety of expected and unexpected challenges the team might

face. This occurs in part because having a common understanding enables team members to know what to expect of the other team members and anticipate their likely responses and actions.

- *Collective team memory.* Collective team memory is the sum total of knowledge, information, and skills the team members possess. It is the distributed expertise within the team and how this expertise is accessed and combined when the team performs. This includes both what the team as a whole knows and what the gaps in its knowledge are. An accurate team memory is essential to tapping into relevant knowledge when situations arise and knowing when to solicit experts outside the team.

Developing Team Leadership Capability: Planning Phase Needs

Several years ago, a Fortune 100 company was launching a team of human resource (HR) professionals whose charge was to develop a new HR process. The team members were seven highly rated directors from different divisions in the corporation, selected because of their experience and executive potential. The team sponsor was the top HR officer in the company, the executive vice president (EVP) for HR.

The team members' biggest challenges occurred during the first meeting. The sponsor called them together to thank them for agreeing to work on the project. He acknowledged that the work of this team would be an additional burden to each person, because they would not be relieved of any of their existing responsibilities. The EVP also said that although this project-launching meeting was face-to-face, there would be only one more opportunity to bring them all together again. The project recommendation was due in six months. When it came time for the sponsor to tell the team about the goal, he was vague. One team member asked about a more specific, measurable goal: "How will the team know when it is successful?" The EVP responded, "I'll know it when I see it."

Combining vagueness about the outcomes with the selection process for the team's composition (based on high potential rather than specific skills and knowledge for this work) resulted in a lack of clarity for the members. Numerous key team needs in this planning phase were unmet. There was no team charter, so the purpose and key tasks of the team were unclear. The long-term goal was unknown, and this precluded effective setting of short-term goals, milestones, and actions. The team members could not even begin to develop a shared

understanding of their task. They did attempt to create team memory of each other's knowledge, skills, and abilities, but that process collapsed because of a complete lack of direction. Without the necessary clarity of purpose, goals, roles, and responsibilities, the need for creating a task performance strategy was unfulfilled.

After struggling for a couple of hours, the team members asked the sponsor to return. Through a focused discussion, facilitated by one of the HR professionals who was an organizational development (OD) practitioner, the sponsor and the team members were able to gain clarity. The sponsor translated the corporation's performance expectations for the team members. Once these were made clear, agreement was reached about the team's purpose, and a charter was written. Through a lengthy dialogue, the sponsor and the team were able to align the team's goals with the organization's expectations, set realistic goals, and agree on specific deliverables.

After the sponsor left the meeting, the OD practitioner continued to facilitate and helped the team to structure a work plan. Once the team received clear direction, it worked diligently to create alignment and gain commitment from its members. It developed team norms about how members would work together. These were especially important because subsequently, members would be working with each other primarily virtually. They also reached agreements on who would be responsible for each phase of the project and how they would support each other if one of them fell behind on a commitment. These agreements were critical because each of the team members was also on other teams, and all of them knew that any one of them might become overextended at some time during the team's work.

With members subsequently working virtually from their offices on two continents, the team succeeded in part because its planning phase needs had been addressed in the beginning. The project recommendation was delivered to the sponsor on time, the new HR process was successfully implemented across the corporation, and the team honed its leadership capability. An added benefit of this team's experience was the development of best practices that several of the team members then employed with other teams. These lessons learned helped the other teams become clearer on purpose, goals, norms, and roles and responsibilities. This type of team benchmarking can be an effective way to propagate innovation throughout an organization.

Action Phase Needs

As the label implies, action phases are times when the team is engaged in activities that directly lead to goal accomplishment. During this phase, six team needs can arise:

- *Monitoring team output*. This refers to tracking the progress the team is making toward goal accomplishment and communicating that progress to team members. The collection of accurate information about team output is essential for team members to regulate their actions, in part because it enables adaptive adjustments in team tactics and behavior. In addition, feedback about goal progress has positive motivational benefits, particularly as the team approaches goal accomplishment.

- *Monitoring systems.* This includes tracking the resources available to the team—for example, personnel, budget, and information. This is particularly important because these resources are consumed during action and may be subject to frequent change. Monitoring systems also include tracking the environment outside the team for such things as the occurrence of potentially novel or disruptive events and the current requirements and opinions of key team stakeholders.

- *Coordination.* Coordination of activities within the team includes prioritizing and orchestrating the sequence and timing of key activities and events within the team itself. As teamwork presumes some level of task interdependence, the coordination of team member actions becomes critical to prevent rework, redundancy, and performance gaps.

- *Communication.* Teams need high-quality internal communication. This includes team members communicating openly with one another, ensuring all team members have the opportunity to express their opinion or viewpoint, and a high-quality exchange of ideas and information in the team. Because team members must collaborate to accomplish work tasks and must manage the inevitable interpersonal challenges that arise, effective communication is essential.

- *Monitoring team behavior.* This includes examining the behavior of team members to ensure that tasks are being performed correctly and efficiently and to determine if assistance is needed. If performance is not up to standards, team members are expected to provide some sort of assistance. This can

include providing feedback or peer coaching, helping or otherwise assisting the team member, or performing the task for the team member. Thus, monitoring team behavior typically leads to a constellation of behaviors designed to support fellow team members. It therefore reflects some of the advantages of structuring work around teams compared to individually designed work.

- *Maintaining team boundaries.* This includes gathering, interpreting, and communicating information from sources outside the team. It also involves representing the team to key stakeholders, advocating for the team, updating others on the team's accomplishments, and buffering the team from outside pressures. Finally, it includes coordinating the team's activities with other teams, managers, or clients the team may work with or might be the source of needed resources. This need reflects the fact that the team is embedded in a larger system and that team effectiveness is partly dependent on effectively interfacing with others within that system.

Developing Team Leadership Capability: Action Phase Needs

A large multinational company asked us to help one of its product teams, in the process of launching two new products in North America and Europe, become more effective. Our assessment of the team revealed a number of challenges. The company had recently reorganized, and the new organizational structure emphasized business units rather than the previous functional entities. There was tension among the new business unit heads, the functional leaders, and the country managers, and it caused divided loyalties on the team.

The team had eighteen members who were geographically dispersed across three continents. Given the organizational tension among the team members, they were not open with each other, and consequently communication among them was poor. The team leader did not communicate well either. He often did not give timely information to team members and seldom gave team members feedback. Although he was seen as a good strategist, he did not pay attention to details and did not inform the team about changes in his strategic intentions. Intrateam communication needed to improve.

The team's meetings were poorly organized. The team members did not plan ahead, they had difficulty making decisions, and they often did not know who was responsible for important tasks. All of them reported being overwhelmed with work. They also voiced concern that although the team's work was important, they were not being compensated for it. Their rewards came solely from their

jobs back in their functions and countries. These challenges triggered many of the team needs in the action phase.

Monitoring output was problematic because the team did little to track its progress toward its goals. Team members did not have the opportunity to adapt their actions in a timely manner because they did not have the information they needed to enable them to do so. A steering committee of six of the team members knew in more detail what was happening, but the dispersed team members did not. In the new organizational structure, the team should have received all the necessary resources, but because no one was centrally monitoring the team's requirements, each of the team members was independently pursuing resources.

Monitoring team behavior, coordination, and communication were all poor. Team members did not know exactly what others were doing. There was little planning in advance of the team meetings, which themselves were infrequent and not well run. The team had a difficult time making decisions and often did not know who was responsible for which decisions. Activities were not prioritized or synchronized properly.

Finally, boundary management was a big problem for this team. Team members rarely shared information they had obtained outside the team. In addition, they did not represent the team's work positively to their functional departments. This left all external communications to the team leader, and he was personally unable to represent the team in the company's various functions and geographies as effectively as the team members could have.

After our interviews with people on and off the team, we intervened to help the team get back on track. First, we had each team member complete a team assessment survey, and the data were summarized and reported to the team. Next, we facilitated an action planning process that helped the team create processes to monitor their performance; procure resources; and improve their communications, coordination, and decision making.

As a part of this process, we had the steering committee conduct a meeting in the presence of the rest of the team. After the meeting, we coached the team leader and other steering committee members to help enhance the performance of the committee and the larger team. This coaching covered the following areas: sharing the information they had with the rest of the team members; creating and following more comprehensive agendas; facilitating team problem-solving and decision-making discussions; and identifying, clarifying, and resolving disagreements on the team. This team coaching of the steering committee was

conducted in the presence of the entire team so that all team members could benefit from and apply the information.

Subsequently the team leader challenged the other team members to be more open with each other and to support and represent this team back in their respective functional organizations. The team members conducted role plays and coached each other so they could go back and confront some of the more difficult functional leaders and country managers. The team committed to more systemically securing resources for the team by assigning the responsibility for coordinating the accumulation of resources to one of the members of the team. The team members also agreed that they would alert each other about potential problems from the organizational environment and that they would advocate for the team in the face of organizational challenges.

For his part, the team leader committed to a more open and communicative style. He began by communicating results of the steering committee meetings to the rest of the team and held more meetings for the larger team. He also agreed to help change the reward system so that the team members could be recognized and rewarded for their contributions on this team. At last report, the team was working together more effectively, and the products had been successfully launched.

Interpersonal Needs

Four types of interpersonal needs arise across the planning and action phases that must be satisfied for a team to be effective:

- *Motivation building.* A major problem in team settings is social loafing (the withholding of effort when working with others). This can happen when team members believe that their contributions to the team's work cannot be identified. Motivation building includes generating motivation toward task and goal accomplishment, building a sense of cohesion and self-confidence in the team, and generating a sense of accountability for team performance in both individual team members and the team as a whole.
- *Psychological safety.* This refers to developing a shared sense of trust in the team so team members can openly speak their minds without fear of rebuke or retaliation. Having a sense of psychological safety in the team creates an

environment where team members feel comfortable bringing up problems and tough issues, as well as taking risks to innovate.

- *Emotion management.* This includes the regulation of team member emotions across the planning and action phases. It entails ensuring that setbacks, frustration, and even overconfidence do not undermine team performance. Emotions are contagious within a team. Team members can literally "catch" the positive or negative emotions of fellow team members. It is important that teams effectively manage their emotions.

- *Conflict management.* This includes proactive conflict management tactics that strive to avert, control, or manage conflict before it occurs. It also includes reactive conflict management tactics designed to minimize and resolve the range of task and relationship disagreements that do occur. Conflict in a team is inevitable, so its effective management is essential to team effectiveness.

Developing Team Leadership Capability: Interpersonal Needs

We were working with a global, cross-functional senior team in a large company. The team members were part of a multicultural organizational climate that was competitive. The company had a matrixed organizational structure. The team had multiple solid-line and dotted-line reporting relationships within it. Its members were functional and business unit leaders and some direct reports. Team members wanted to be on the team because of its high exposure, but none wanted the other team members to interfere in his or her own division or functional area.

Agendas for the meetings had too many initiatives with not enough time to fully discuss them. There were twenty people on the team, and all the team meetings included all members able to be present. The team members focused on managing details rather than on leadership activities such as providing direction, gaining alignment, or maintaining commitment.

The team had little formal training or development with regard to interpersonal processes. Psychological safety on the team was low, and trust and loyalty issues often surfaced. The more junior members of the team seldom spoke and usually were not listened to when they did. Team members typically avoided conflict during the team meetings and seldom surfaced disagreements with each other. Sometimes team members would make sarcastic remarks about each other, but no one on the team would take the risk to challenge an offending team

member. The need for conflict management was clear. The need for motivation building demonstrated itself as team members routinely wrote e-mails and conducted side conversations during team meetings. Members sometimes left meetings in progress to attend to other issues.

When the team leader spoke, everyone else shut down as if his was the final word. Consequently, to keep the dialogue going, the team leader did not speak much, nor did he provide needed direction, with the result that team members became confused and misaligned. In addition, decision-making responsibilities were unclear, so few decisions were made during the meetings. There was much advocacy and little inquiry, and team meetings often degenerated into filibusters. Significant internal competition, pointed barbs, and little attention to espoused norms characterized the team. There existed little accountability for positive interpersonal behaviors among the team members. The team had originally focused on its needs in both the planning and action phases, but because the team members ignored the interpersonal needs in play, the team quickly became dysfunctional.

We were asked by the team leader to help the team become more effective. We began by observing the team in action and then sharing our observations and evaluations with everyone. Our comments helped the team members see how they were being dysfunctional with each other. We then taught them several process-debriefing techniques and coached them in the use of these techniques. As the team began to incorporate process debriefs into all of its meetings, the attention and participation in the meetings significantly improved. We used feedback from a variety of assessment tools to help the team members know themselves and each other better, including personality, 360-degree feedback, and team assessment instruments. We used experiential exercises and feedback as ways to assess individual behavior and team effectiveness. This process gave the team an excellent benchmark of the team's current effectiveness.

Following the assessments and feedback, we were better able to challenge and support the team members in their efforts to be more effective. Each team member worked with an executive coach. The team adopted a new norm of more inquiry and open disclosure and less advocacy. Led by the team leader, the team members became actively involved in solving team and task problems. This included creating and following agendas that had fewer items; giving information and providing direction in a shared leadership manner; breaking into subteams to better engage all team members and more efficiently accomplish

the team's work; and creating a decision-making process that allowed clear lines of authority and accountability. They learned to use an anonymous electronic voting process to help surface opinions and make decisions. Using a peer feedback model, the team leader and team members began to give each other supportive feedback during team meetings. They challenged each other, but not in a competitive manner. The team has subsequently become highly effective in running its meetings.

BUILDING TEAM LEADERSHIP CAPABILITY

We now describe in more detail the key intervention approaches we recommend. We close with an integrative example of how these elements have been used in practice.

As noted at the outset of the chapter, TLC refers to the team's collective ability to satisfy key team needs in the course of meeting whatever challenges arise. It therefore covers a team's capability to determine its current level of effectiveness, identify its pressing challenges and the resultant needs triggered in the team, and select and execute appropriate leadership functions to address these needs. TLC is the engine of high performance in a team. Developing team leadership capability is most effective using team training, team coaching, and team benchmarking. Although we recognize that teams are composed of individuals and that individual development is often necessary for enhanced team participation and contribution, we focus on team-level development processes; the other chapters in the handbook provide ample discussion and suggestions for individual development.

Team Training

Formal team training initiatives are one of the most common techniques for developing team leadership capability. The most effective team training involves the entire team. It begins with helping the members become more aware of their individual operating styles, preferences, and impact on others. In addition, team members can obtain a clear understanding of how they fit with their fellow team members in terms of the competencies they share and the unique competencies they bring. This is aided by gaining knowledge of their fellow team members and otherwise understanding their role within the team. Training then progresses to examining and understanding the interrelated task and social roles and relationships within the team. This includes a clear understanding

of who does what in the team, as well as the status of the interpersonal relationships among the team members. Teamwork requires highly coordinated efforts, so it is critical to clarify how different roles play out as team members work together.

Finally, team training moves to exploration of team-level factors such as how the team processes information, makes decisions, exercises authority, handles inevitable conflicts, and otherwise regulates its collective behavior. Key to this team self-regulation is how the team balances its workload, engages in mutual performance monitoring, and adapts to changing task or environmental demands. Training thus focuses on how to enhance the collective leadership capability to be autonomous and self-managing (with a minimal need for outside assistance). For each of these elements of team training, useful concepts are presented, discussed, demonstrated, and practiced to increase the inventory of working skills and knowledge within the team.

Team Coaching

Another means of enhancing TLC is team coaching, which can be most effectively provided by a skilled teams expert who is not an integral part of the team in question. Although team coaching alone can be very helpful to developing team leadership capability, its effectiveness is enhanced when combined with team training.

Team coaching has several components. The first is observing a team as it works on its nominal tasks. During such observation periods, the coach notes aspects of team behavior and processes that are effective and aspects that are less so. Next, the team coach talks through the observations of the team's work in a nonjudgmental and detailed fashion. During this process, the coach ties his or her observations to individual, interpersonal, and team concepts with which the team members are familiar (usually from prior team training). This connecting of observations to concepts helps the members assimilate the observations in a more objective fashion. The team coach then facilitates a discussion by the team of his or her observations and encourages the team members to divulge their own observations of the team's work. Best practices are identified, and lessons learned are incorporated into a list of intentions for modifying the team's behavior and processes during its subsequent work periods.

The ultimate goal of a team coach is to enable the team to coach and develop itself as its team leadership capability increases over time. The effective

team coach adjusts his or her methods accordingly. By initially demonstrating effective coaching observation and analysis and then shifting over time to doing more eliciting and facilitating of the team members' observations and analysis, the effective coach reduces the team's need for his or her assistance. Through this process, a team develops its own leadership capability and increases its independence and effectiveness.

A particularly useful method for the team coach to employ is the process debrief or after-action review. The aim of this method is to instill in the team a consistent norm of team self-assessment and feedback exchange. Most teams initially see little use in such a practice and resist adopting it. Only when a coach (or experienced team leader or member) persuades a team to experiment with this and the team members see the tangible gains in their performance as a team as a result of this time and energy investment does the team begin to incorporate this method into its typical work period agenda.

One way to structure after-action reviews is to use the assessment, challenge, and support (ACS) model described in the Introduction to this handbook. A team's current level of TLC must be assessed, the team must be challenged to increase this capability, and support must be provided for the team to do this successfully. Team coaches are often ideally positioned to help the team with each of these aspects.

Assessment A team must identify its current level of TLC. This requires taking a snapshot in time of the team's functioning and addressing five interrelated questions (they are listed in Table 10.2). First, the team should evaluate how well it is performing, ideally on a broad range of criteria (actions, feelings, and learning). Second, it should identify the top challenges it has faced during its recent period of performance. Third, it should identify the top needs it experienced as a result of these challenges. Fourth, it should note what leadership was displayed in the team. Finally, it should evaluate the effectiveness of this leadership at satisfying its needs and meeting the challenges it faces. The various challenges, needs, and leadership functions identified throughout this chapter can serve as a guide for what to be looking for when answering these assessment questions.

Numerous methods are available for performing this assessment (optimally this assessment should include input from those outside the team who are stakeholders in the team's performance). The methods most commonly used

Table 10.2
Key Team Assessment Questions

Domain of Inquiry	Key Question
Team effectiveness	How did the team do?
Team challenges	What were the top two or three challenges the team faced?
Team needs	What were the top two or three needs the team had?
Leadership displayed	What leadership was displayed in the team?
Leadership effectiveness	How effective was the leadership?

are team surveys, simulations, and guided discussions. A team survey could be selected or constructed that taps the components of TLC. It could then be administered individually and anonymously to the team members, tabulated, and the cumulative results provided to the team for examination. Alternatively the survey could be completed by the team in a discussion format with a drive toward a consensus judgment about each of the survey items. Many team simulations are available that could be adapted to focus on the components of TLC. Such simulations hold the possibility of not only giving the team feedback on its current TLC but also allowing the team to practice the components in a purposeful way. Finally, guided team discussion of the TLC resident in the team will enable the team to use this framework to examine its functioning. A facilitated discussion can create awareness in the team of its current capability and simultaneously stimulate thinking about options for increasing it.

Challenge Challenge involves encouraging the team to think or act differently than it has in the past. This pushes the team outside its customary limits, established routines, and comfort zone. It involves getting the team to work with the feedback derived from the assessment activities engaged in, identify its TLC strengths and weaknesses, and formulate action plans for nurturing those strengths and remediating those weaknesses. It also can involve pressing the team to prepare for future events likely to unfold. Such opportunities to anticipate and rehearse critical junctures in the team's journey in advance can greatly strengthen a team's TLC.

Support Support for the development of TLC can come from team members, the nominal team leader, a team sponsor, or a team coach. The nature of the support needed will determine which of these sources is most effective. Common types of TLC development support are creating space and opportunity for team practice and rehearsal and providing positive feedback, developmental feedback, targeted TLC training, and information about emerging events likely to challenge the team. Each of these forms of support can enable a team to increase its team leadership capability.

After-action reviews guided by the ACS framework can be used by a team for a quick assessment at various natural junctures in a work period, at the end of a work period, or at the beginning of a subsequent work period. Effective after-action reviews are one of the most powerful methods for teams to develop their team leadership capability.

Team Benchmarking

A final way to enhance team leadership capability is team benchmarking. This approach deserves more use in the organizational world than it seems to be receiving. Team benchmarking involves identifying the teams in one's organization that are the most effective and creating ways for other teams in the organization to observe and learn their effective practices. Through the decades that learning has been studied with academic rigor, observational learning has continually surfaced as one of the most powerful methods for acquiring new skills and behaviors in a wide array of human endeavors. Yet in organizations, and particularly in teaming environments, little use has been made of this powerful method. Effective teams could be videorecorded, members of other teams could attend effective teams' working sessions as observers, and knowledge management tools of various sorts could be created to capture and disseminate best practices of the most effective teams. In every organization that employs teams, some are much more effective than others. Yet little is done to leverage the strength of the most effective teams to the benefit of those struggling.

A CASE STUDY OF DEVELOPING TEAM LEADERSHIP CAPABILITY

We were asked to help launch a new senior team in a small, privately held, international company. The team had been told by the company owner to dramatically increase sales revenues and profit margins for the company. The team consisted of six senior vice presidents from different functional areas. The owner

asked us to help create a high-performing senior team as well as help develop several existing product teams that would soon report to this senior team.

Our interviews during the initial needs assessment phase revealed a number of challenges for both the senior team and the product teams. The organization's culture did not totally support teams. Historically, the company's culture was very polite and nonconfrontational. For all the advantages of that culture, the disadvantages of not enough pressure for performance, complacency leading to mediocrity, and being more of a family than a meritocracy hamper all teams' effectiveness. Still, the expectations for results had now been set quite high by the company's owner.

On the senior team, roles and goals were unclear. For instance, the senior team's autonomy and authority in relation to the owner were ambiguous. There was disagreement about who should be on the team and who would be the nominal leader of this senior team. Within the organizational structure, product team members were still owned by their functions, which often caused conflicting loyalties and agendas to emerge.

Because the senior team was just beginning, many of their initial team needs revolved around the planning phase. The team did not have a team charter, so members did not have a shared understanding of their team's purpose, goals, tasks, or methods. This enabled the senior team to get mired in detail rather than taking a larger strategic view. The members did not have agreement about team norms, and they behaved erratically with each other, sometimes talking negatively about team members when they were not present. Problems with trust and respect were apparent. Two interpersonal needs in play were conflict management and psychological safety.

Because the product teams had been in existence for a year and some attention had already been paid to their planning phase needs, we discovered that the action phase needs of these teams were more salient. Although the product teams shared several team members, they did not effectively maintain team boundaries. The teams lacked good alignment with company initiatives, and they did not collaborate, coordinate, or communicate well with each other. Accountability, speed, and agility were issues on all the teams. Communication within a couple of the teams was also poor. Those teams did not meet frequently or for long, and the meetings mostly consisted of quick informational presentations, with little time left for dialogue, monitoring team behavior, or decision making.

Emotion management and psychological safety were issues within a couple of the product teams. Many of the product teams' members did not trust some of the senior team's members. As a result, they felt uncomfortable openly disagreeing with them in joint meetings. Some of the product team members were so upset about ongoing issues that they spent some of their valuable meeting time complaining about the senior team.

The first leadership function the senior team performed was to provide training and development for all the teams. We designed and facilitated individual and interpersonal leadership development processes for the senior team and all of the product teams. First was a series of interventions geared to help each of the team members better understand themselves and each other. To conduct a comprehensive assessment, we used psychological and 360-degree feedback instruments, experiential exercises, and observation of team meetings. We then conducted team training programs to challenge and support the team members as they individually and collectively received feedback and team coaching.

After the senior team members had a better understanding of themselves and each other, the next step was to launch the senior team more formally. The team members decided on the final team composition and then agreed on a leader. The nominal leader repeatedly demonstrated openness and challenged the other team members to do the same. Because of his modeling of a willingness to admit mistakes, openly and caringly challenge others, and firmly state his opinions, many of the team members' interpersonal issues began to be surfaced and resolved. To a considerable extent, this was due to the greater psychological safety in the team. After receiving challenging feedback from the team leader, the senior team members agreed to discuss their disagreements with each other openly and not to use other channels to attempt to get their way.

With external facilitation and coaching help, the senior team members developed their team's mission, set goals, agreed on team norms, and structured and planned the team's work. The senior team then discussed their mission, goals, norms, and work plans with the product teams. This was an informal use of team benchmarking. This process helped the product teams better understand their relationships with the senior team. Senior team members also made progress in improving their interpersonal relationships with the product teams' members. For instance, the senior team met with the product teams to share their feedback from a key assessment instrument. All parties as a result better understood the others' preferences and how these preferences were acted on and often misunderstood.

To help the product teams function more effectively, the senior team created a resource prioritization and allocation process, streamlined an approval process, and created a one-stop issue resolution process. These steps were intended to improve speed and agility, as well as collaboration, among the product teams. The senior team continued to monitor its own progress as well as stay in close contact with the product teams.

For their part, the product teams had to improve their internal leadership processes in order to address their teams' needs. By using feedback from the team coaching process and a team assessment survey, the teams first revisited their team goals and set performance expectations. They then worked to improve team communication and team coordination so that team members could keep track of the teams' performance. This allowed them to challenge their performance and set higher expectations for themselves and their teams. It also enabled product team members to help each other focus on what they could control. The teams began to monitor all the teams and manage team boundaries. The leaders of all the product teams began to meet regularly, shared best practices (engaged in team benchmarking), and kept each other better informed of their product team's progress and needs. Also, the team members who were on multiple product teams began to more openly inform each of their teams about what was happening on the other teams. All of the teams began to share meeting agendas and minutes with each other. Both face-to-face team coaching and follow-on individual phone coaching helped the team members and their teams to be more effective.

Although individual, interpersonal, and team development were all necessary, in aggregate they were not sufficient because of organizational culture challenges that had not yet been addressed. Once the core challenge of organizational climate and culture was identified, the teams were better able to work with and help each other. The senior team called the members of all the product teams into several joint sessions to make sense of what they faced. With external coaching, the senior team helped the product teams define the existing culture and clearly identify their preferred culture. Using an organizational culture model, the product teams' members collectively identified cultural issues that were impeding their progress. All teams were unanimous in seeing the current culture as being more dependent and conforming. If they were going to meet their aggressive growth and profit targets, a much more collaborative and innovative culture would have to be created. The senior team members asked the product teams what needed to change in the organization in order to develop and launch more profitable new

products. The teams identified nearly fifty changes to the culture that would help move it from being more conforming to more innovative.

The senior team then worked with the owner, the product team members, and other leaders in the company to begin to transform the culture. The list of proposed changes was prioritized, and the first several of the changes were implemented.

This example demonstrates how the team leadership model can be applied using the three developmental approaches. As a result of the interventions undertaken, the teams became more effective, and their overall team leadership capabilities were strengthened.

CONCLUSION

This chapter provided a model of team leadership that can be used to not only understand how well a team is performing but also to articulate some of the reasons that teams perform well or poorly and the role of leadership in fostering team effectiveness. The model highlights the importance of understanding the context within which teams work and the specific planning phase, action phase, and interpersonal needs that all teams have. Satisfaction of these needs is a central task of leadership and an important factor in determining whether teams will be effective. As we discussed, leadership is a process rather than a specific person, and anyone on a team can perform the leadership functions we describe. In this way, team leadership is quite different from individually oriented leadership. But like individual leadership, team leadership capability can be built. Team training, team coaching, and team benchmarking are the major methods for developing this important capability.

chapter
ELEVEN

Developing Strategic Leadership

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Many leaders receive feedback that they need to be more strategic. However, when they ask what specifically it means to be "more strategic," they commonly get back an unsatisfying, ambiguous response. Typically the field of leader development addresses the question of how to be more strategic in terms of leadership competencies or in terms of following a set of procedures related to strategic planning. But any competency can become obsolete as the environment changes, and strategic leadership is not about a set of planning exercises conducted on semiannual retreats. Competencies and procedures are important, but it is more important to view strategy as a collective, continuous learning process that engages both individuals and the organization as a collective to think, act, and influence others in ways that promote enduring direction, alignment, and commitment (DAC).

The greatest challenge to being more strategic is that it requires organizations and their leaders to execute on priorities in a disciplined way and at the same time to be open to change. Strategic leadership both effectively positions the business to meet

today's needs and anticipates tomorrow's challenges. This suggests that leaders expand the idea of strategy to include continual collective learning. Ultimately this kind of leadership results in DAC. With this in mind, we define strategic leadership as follows: individuals and collectives enact strategic leadership when they think, act, and influence others in ways that promote the enduring direction, alignment, and commitment of the organization.

In this chapter, we focus on the development of strategic leadership. First, we discuss strategic challenges that leaders face in developing DAC in an organization and how their strategic choices can promote each aspect of DAC. Then the chapter discusses strategy as a collective learning process and the skills and perspectives of strategic thinking, acting, and influencing. Finally the chapter discusses how to develop strategic leadership across an organization.

HOW STRATEGIC THINKING AND CHOICES CAN PROMOTE DIRECTION, ALIGNMENT, AND COMMITMENT

Strategic decisions often involve the organization's structure, the nature of its workforce, investments in technology, identification of new markets, reward processes, and systems of communication. Strategy has to do with responding effectively to the environment external to the organization, so that the organization is successful in the long term. Strategic decisions have long-term implications, are broad in scope, and can easily threaten DAC if not attended to properly. But attended to, they can enhance instead of threaten.

Setting Direction

When direction is effectively set, each member knows the mission, vision, and goals of the collective and sees the value in those aims (Drath et al., 2008). In our experience, several strategic factors can cause organizations to falter in setting direction. For example, leaders may either be too focused internally at the expense of scanning the environment for trends and changes or too focused externally at the expense of knowing the organization's strengths and weaknesses and what systems, processes, and people capabilities are required to meet external demands. Alternatively, organizations may overemphasize short-term success versus building future capability. Another problem is that organizations must not just set direction through vision, they must also work to understand the key areas of priority to achieve that vision, because vision without prioritization results in

a dilution of intended direction. Yet another challenge is that direction cannot be static; it needs to change as the organization faces new challenges.

One organization we worked with offers an example of how important strategic thinking can be to establishing a new direction. This organization was struggling to enter the Chinese market. It had been in China for a number of years but had not obtained great market leadership. When a new managing director took the time to bring together a select group of employees with a lot of experience across China, a new direction developed. This group traveled throughout the country, analyzed data, and came to a common understanding about changes in consumer behavior, as well as differing competitive forces. Their insights led them to reframe China not as one market or country, but as several different markets. In a change of direction, they prioritized the regions, rethought their product mix, and approached the resource allocation process differently. They also developed a shared picture of where to go in the next three, five, and ten years. Success came fairly quickly, with an increase in market share in their first targeted region. The new managing director's strategic wisdom lay in enlisting a collective to redefine direction. Collectively, his organization was able to carry out an inductive reasoning process that could comprehend the many causal loops within this complex strategic challenge.

Creating Alignment

When groups within the organization are aligned, the knowledge and work of one group coheres with the work of another, all in service of the overall direction. Alignment requires focus on both systems (the work of management) and the way people work together—the conversations they have and the meaning that they construct together (the work of leadership).

Good strategy execution results in alignment. Neilson, Martin, and Powers (2008) studied a thousand organizations in more than fifty countries to understand factors that make strategies succeed. They found that clarifying decision rights and designing information flows are the most powerful actions affecting strategy execution—more powerful than more common actions such as structural reorganizations. People need to fully understand what they are accountable for relative to the strategy—no easy task in today's complex structures.

Ensuring free information flow is particularly challenging because alignment, like direction, is not static. Alignments do and need to change as different parts of the organization reach new understanding of their situation, and as the situation

changes. Information must be shared through robust dialogue and conversation so that the new understanding is a common understanding. Neilson et al. (2008) confirmed the high degree of difficulty inherent in achieving alignment with their finding that employees at 60 percent of the organizations studied felt that important strategic and operational decisions were not quickly translated into action.

As an example of how a good strategic choice can help promote alignment, consider the work of a general manager for two South American countries in a consumer products company. The company acquired a new business that brought many new and exciting brands to the portfolio. It would have been easy to launch into a full campaign with these new brands, but the general manager was concerned about the capacity of his people and system to integrate so many new products simultaneously. He also recognized that they had a lot to learn about these new brands. Although his peers, general managers of other countries, were all going full force at introducing the new brands, this manager strategically chose to go a step at a time so that he and others could learn along the way. In an early meeting, his peers pushed back at him, but his conviction helped him hold to his decision. Today this organization holds 90 percent of the market share in his countries—and that has grown from 85 percent under his watch. His strategic choice to set priorities and to slow things down in order to speed them up later on contributed to the alignment necessary to thrive.

Gaining Commitment

Commitment is demonstrated by the willingness of people to expend effort toward the needs of the collective over and above the effort they expend to meet their own individual goals. Not surprisingly, strategic challenges abound in this area. For example, reward systems may actually discourage certain kinds of commitment; while metrics at the individual or group levels can create stronger accountability, they can also dilute commitment to the broader enterprise. If an individual or a group needs to forgo its success to facilitate the success of the organization, do the reward systems support this? Leadership cultures also influence whether people stretch outside their own functional groups to commit to work for the good of the organization overall.

Consider how a French manager developed commitment from his competitors to work effectively on a controversial project for the battery industry. This talented leader was the manager of environmental affairs and products at his firm at the time the European Commission mandated an agency to develop new regulations

that would have a significant impact on all battery manufacturers. He was named as a leader within the European battery community to influence the work of the regulatory agency. Thinking strategically, he decided to adopt a positive approach, built on solid relationships with others in the industry. He began by building credibility and common goals. He formed a team of experts with people from different companies and different parts of the world. He wanted to bring members of the agency itself onto the team, something the agency members were reticent to do. But he explained that the intent was to truly understand the background of the trends and the purpose of the regulation and demonstrate partnership between industry and government. He demonstrated that his team wanted to cooperate while bringing to bear the technical background to reach an efficient recommendation from a technical and cost point of view. The team did cooperate, had open and honest discussions, and was successful at getting its interests represented in the agency recommendation. This project represented multiple opportunities for reaching across boundaries to competing organizations, government agencies, and others. With good strategic choices, this leader set a foundation of credibility and relationships that paved the way for broad commitment and success.

The rapid pace of change has introduced increasingly complex challenges into the lives of organizations. Organizational strategy is a critical factor in responding to these challenges. For organizations to achieve success, leader and leadership development should incorporate an emphasis on strategic leadership.

STRATEGIC LEADERSHIP PRACTICES

Two basic kinds of strategic leadership practice can contribute to an organization's long-term viability: viewing strategy as a learning process and enhancing the skills and perspectives of strategy-level leaders. Viewing strategy as a learning or discovery process allows the organization to involve the collective in a way that emphasizes both flexibility to change and disciplined execution. It allows strategy to continually evolve while keeping the organization moving toward success. Enhancing leaders' strategic skills of thinking, acting, and influencing allows individuals at all levels to effectively participate in this process. The next two sections examine these practices.

Strategy as a Learning Process

Effective strategy processes involve an iterative and continuous learning cycle, as opposed to periodic off-site meetings to set the strategy for the next several years.

Strategy as a learning process (SLP) is a dynamic, spiraling process of synthesis as opposed to a static, closed-loop process of analysis (Mintzberg, 1994). Once perfected, SLP generates and regenerates DAC. As the steps in this process are developed and executed, learning can occur such that the organization comes to understand what parts of its deliberate strategy are working, what parts are not, and, most important, why they are not effective. An emergent strategy can then develop quickly to address challenges to successful implementation.

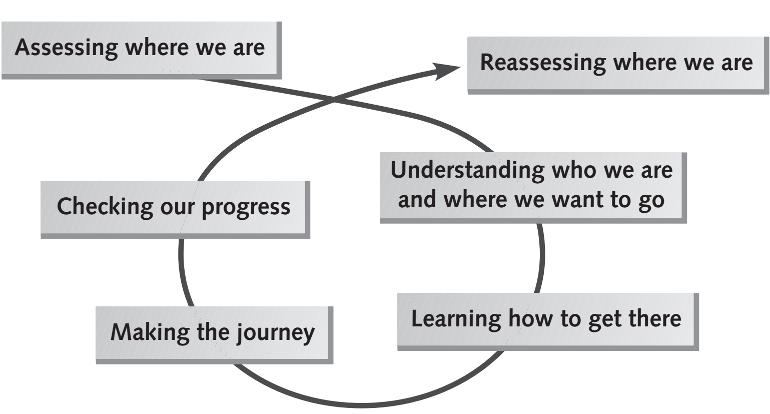
Treating strategy as a learning process requires two fundamental shifts in thinking and approach, and it is the work of strategic leadership to ensure these shifts occur. The first is a shift toward a learning culture. If the focus emphasizes flawless execution, it may be difficult for leaders to sit with ambiguity long enough to allow real learning to take place. Instead, leaders often strive to quickly create structure and supposed progress, whether or not it is the right progress. Also, when people make mistakes, are they only punished, or do leaders encourage them to learn from those mistakes and carry the lessons forward? Strategic organizations take the opportunity to learn from mistakes.

The second fundamental shift is viewing strategy as a collective process, engaging people throughout the organization versus strategy emanating from the top to be implemented by those below. Ultimately strategies fail based on faulty assumptions about customer behavior or the competitive environment. It takes people throughout the organization to fully understand what is happening in these domains. The process requires those closest to the customer to share their lessons and integrate those with other information about the markets, environmental challenges, and capability challenges within the organization. Strategic organizations have more than just great strategic thinkers; they also have the right culture, team dynamics, and processes to infuse learning and engagement along the way, and strategic leaders create the environment for this to occur.

Organizations that are effective in making strategy a learning process explicitly or implicitly go through the steps depicted in Figure 11.1 (Hughes and Beatty, 2005). Essentially there are five, each of which we will discuss in detail. Figure 11.2 (Hughes and Beatty, 2005) imposes the simple schematic of Figure 11.1 onto more detailed likely elements of the process.

Step 1: Assessing Where We Are This first step requires collecting and making sense of relevant information about the organization and its environment. This information may be reflected by tools such as strengths, weaknesses,

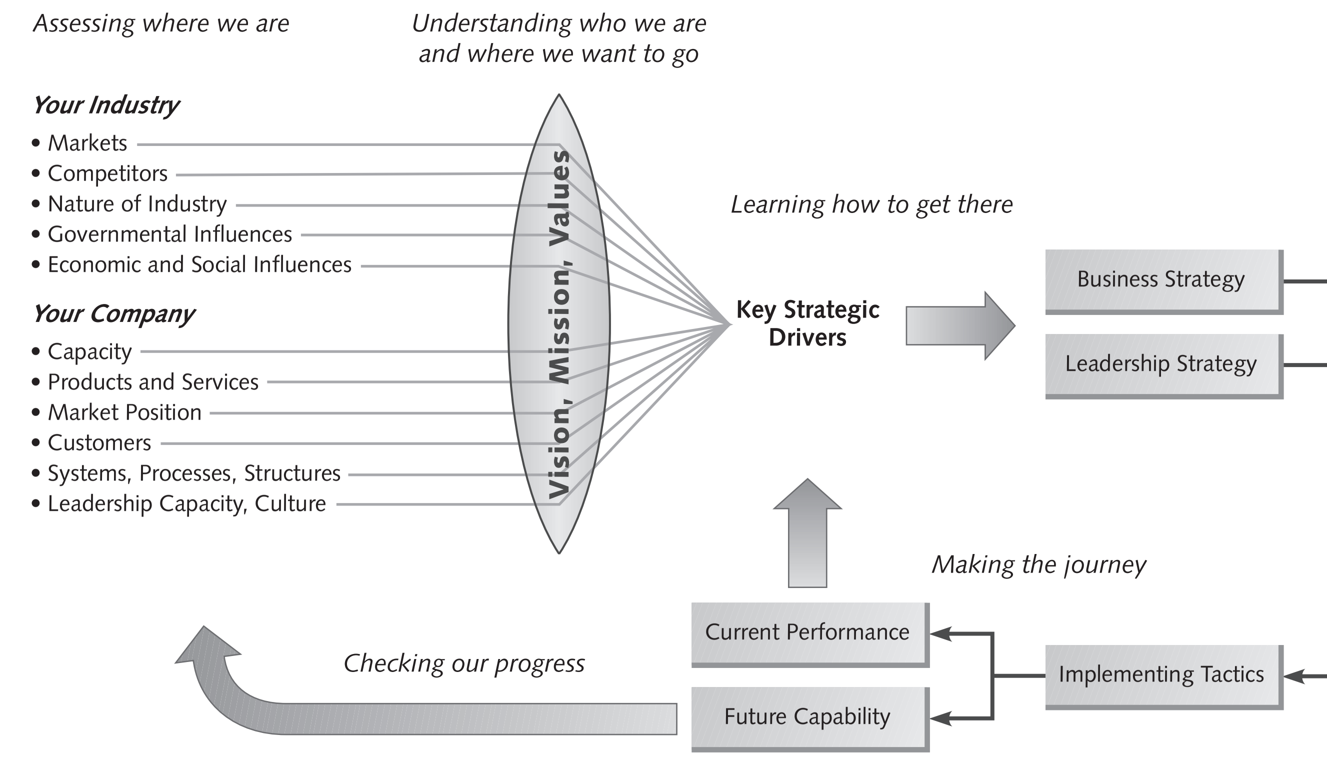
Figure 11.1
Strategy as a Learning Process: An Overview



opportunities, and threats (SWOT) analysis or the five force framework (Porter, 1980). Many authors have questioned the viability of these tools and techniques (Hill and Westbrook, 1997; Lawler and Worley, 2006; O'Shaughnessy, 1984) because they are developed once and not referred to again, or they do not represent the interrelated dimensions of competitive market dynamics in a constructive way. One pair of critics, Klein and D'Esposito (2007), argue that the deductive reasoning that takes place using these techniques is not sufficient to address the ill-defined, complex challenges facing organizations today. Rather, it simply results in lists of factors to consider in strategy formulation. We agree that it is unfortunate when tools like SWOT and five force are used in a mechanistic way in the absence of an honest, productive discussion, but effective strategic leadership can make these exercises quite productive. For example, by encouraging frequent, open, and honest conversations, leaders can guide the collective to identify the causal relationships between the factors identified in the lists and scenarios. The collective must also work to make difficult decisions that prioritize the key related factors such that only a few relevant strategic issues are identified.

Step 2: Understanding Who We Are and Where We Want to Go This step refers to inspirational aspects of strategy making: vision, mission, and core values. These strategic elements create a lens through which internal and external conditions are understood and evaluated.

Figure 11.2
Strategy as a Learning Process: Putting It All Together



Most organizations are effective in developing their mission and core value statements. The Center for Creative Leadership (CCL) uses a tool in its Developing Strategic Leadership program to evaluate strategic leadership teams, and one of the highest-rated items on this tool is, "This strategic leadership team is clear about its basic purpose and core values." However, lower on the list is the item, "This strategic leadership team has a shared vision of our future." The challenge here is the word *shared*. Individuals often have their own personal vision, but getting everyone aligned is difficult. The result is a lens that is not clear and a vision that cannot be communicated and implemented. The rest of the process (identifying drivers and strategy) cannot be accomplished either. In fact, it is close to impossible to align around strategy without a clear lens, because it is such an important starting point for the conversation. Looking through a clear lens requires having a shared and well-understood organizational identity: current and future.

Step 3: Learning How to Get There This third step involves understanding and formulating critical elements of strategy to address the key strategic drivers. Strategy should include both business strategy and the required leadership culture and skills. Strategic drivers are those relatively few determinants that will drive organizational success. They are applicable to any organization: for-profit, nonprofit, and governmental. Strategic drivers are not objectives or goals, such as profitable growth and gains of X percent in market share; rather, they are the means to those goals in that they answer the question, "Where should we place our limited investments in order to reach the goal?" For example, an organization may identify the driver of innovation of new products to reach the goal of increased market share.

Successful organizations typically have only three to five strategic drivers at a time so that they can focus in these areas. Prioritization is a difficult task. For example, in the assessment we use, teams tend to rate themselves lowest on the items, "This strategic leadership team does not waste its own or others' energy on unproductive activities" and "Our strategy is discriminating: clear about what we will do and clear about what we will not do." Leaders in one organization told of spending millions of dollars on television advertising for a product despite indications from midlevel managers that the money would yield better returns if it were spent on business development initiatives. Since the leaders had never had in-depth discussions about whether business development or advertising held the higher priority, the money was spent on the advertising. The campaign generated only three contracts, two of them bad credit risks.

Simplifying and prioritizing drivers help facilitate understanding of what is and is not important, and consequently, it discourages marginal activities that sap critical resources. This prioritization makes the complex clear; however, it is a tough discipline to master. Staver (2006, p. 65) states it nicely: "Setting priorities and executing them consistently is one of the most courageous things a leader can do—it isn't for cowards."

The right drivers develop capability and competitive advantage for an organization. Drivers can change over time, or the relative emphasis on those drivers can change as an organization satisfies its key drivers. For example, in a high-growth industry, simply having available capacity may be the key driver of an organization. As the growth curve flattens, other competitive factors will come into play.

This dynamic cycle of focusing on the right drivers while paying attention to changes in the environment and reprioritizing drivers as leaders learn and capability is built is the heart of strategy as a learning process. Done well, it provides clarity and focus in the organization.

Strategies flow from the drivers. Organizations employ (consciously or not) two types of strategy:

- *Business strategy,* which is the pattern of choices an organization makes to satisfy the identified strategic drivers that create competitive advantage. The choices should reflect the priority of the drivers. And the word *pattern* is intentional, because strategy is reflected in the ways the different parts of the business work together and cohere.
- *Leadership strategy,* which describes the organizational and human capabilities needed to enact the business strategy effectively. It includes a focus on the talent and skills needed to implement the business strategy, as well the organizational culture that will support the necessary behaviors.

Regarding culture, one of our clients, a large retail product organization, recently experienced a significant decrease in the development of new products that became successful. When asked to describe the leadership strategy, its leaders could not answer the question because they had never resolved what kind of organization it took to create innovative products. When they did look at their culture, they saw it had become intolerant of mistakes, which impedes innovation. Although the company was putting more money, time, and human resources into product development to focus on their key driver of innovation, the culture was not allowing those investments to succeed. While organizations must build

cultural attributes that are aligned with their strategy, they must also create an overall culture that encourages the learning inherent in strategy making and implementation.

The organization's culture and orientation toward learning can support or hinder SLP. We also find that organizations whose culture facilitates collaboration across boundaries (structure, level, function, geography) fare better in addressing SLP. In contrast, cultures that maintain rigid structural boundaries (often termed *silos*) can be quite detrimental to the operating results of the organization as a whole. In fact, when silos simply optimize their own results, the enterprise as a whole is not well served. Silos can, in effect, be geographical too, so global organizations must struggle to develop leadership strategies that maximize global talent and optimize global knowledge. Leadership must develop a culture of collaboration across these boundaries so the overall enterprise can thrive.

As organizations articulate a leadership strategy, they develop an explicit strategic intent for their culture and talent systems, bringing them to the level of conscious awareness. Moving these choices into an explicit space improves the probability of developing the culture necessary to support the organization's strategy.

CCL had an opportunity to integrate many of these attributes into a leadership strategy for a large global financial service organization. The strategy outlined a multiphase intervention for the top few hundred high potentials, including programmatic sessions, action learning projects explicitly tied to the business strategy, and an executive mentoring program. Because the organization is global, particular attention was paid to developing several things:

- A strong collaborative leadership culture across geographical and functional boundaries
- An understanding of new regional cultures and different perspectives tied to their emerging markets in third world countries
- Individual competencies associated with the drivers critical to organizational success
- Learning loops for spreading corporate and regional strategies

Step 4: Making the Journey The fourth key step in the strategic learning process is implementing tactics and keeping them aligned with the identified strategies. In the previous section, we noted problems posed by boundaries

between different groups in an organization. Such boundary problems arise here too.

While the top of the organization is ultimately responsible for strategy and its communication, lower levels can determine how resources are allocated, and therefore, managers here implicitly shape the realized strategy of the firm (Bower, Doz, and Gilbert, 2005). If lower-level decisions are inconsistent with the stated strategy, gaps appear in execution. Engaging over this boundary—involving lower levels in the strategy development process—will help to mitigate some of this tension and close a gap that is common in organizations. It will also provide opportunities for middle management to shape the strategy, likely resulting in a stronger strategy overall.

Nike provides an outstanding example of a global organization whose strategy was influenced by people in the middle of the organization (Burgelman and Denend, 2007). The organization had been organized around three business units—footwear, apparel, and equipment—but a sense had grown that the product focus was inhibiting and that a consumer focus might be better. A small semivirtual team composed primarily of managers in the middle of the organization came together, with few organization resources, to explore and initiate a global women's fitness business. They decided to span footwear, apparel, and equipment in this business unit.

Because this new structure was markedly different, they had many obstacles to overcome. For example, their strategic focus was global versus product or regional. They had to compete for priority and resources in a complex organizational structure with businesses in hundreds of companies. They had to develop an understanding of the women consumers of each area of the world and how they differed from each other. They had to overcome infrastructure operational challenges that were not set up to support integrated supply channels. They even had to change their selling practices to pitch the entire line of products at once (traditionally each product was presented separately to the client). In the end, the new approach worked, and this small team helped Nike restructure and shift focus from a product orientation to a category-driven approach, focused on six major business categories: running, men's training, basketball, soccer, women's fitness, and sportswear. Thus, a group of people in the middle changed how Nike approached the market, as well as its culture, perceptions, and the way it thought about its business.

Step 5: Checking Our Progress As a fifth step or concern, organizations must check how well and how quickly they are progressing on the strategic journey. It is critical to focus on the right metrics—those linked to the strategic drivers—because people will attend to and work urgently toward what is measured (Kaplan and Norton, 1996). Ideal measures

- Highlight the major strategic drivers of business outcomes.
- Measure the future required organizational capability to implement the strategy.
- Identify emerging implementation issues.
- Provide clues about the root causes of these issues.

Ultimately, a keen focus on the right measures will help leaders assess how effective a strategy really is.

Washington Group International, the Boise, Idaho–based engineering, construction, and management services company, has won numerous awards for its employee development process. The organization spends significant resources on creating a skilled and engaged workforce, especially certain key talent pools; its level of investment is surprising in such a low-margin industry. But through conversations with clients, its leaders learned that their people are their differentiator. The organization even bases 30 percent of managers' annual incentive compensation on their talent development efforts (Marquez, 2006). These actions are a classic example of identifying a key strategic leadership driver, then aligning metrics and a reward system to encourage behaviors in the organization to develop the necessary capability.

Summary of SLP To develop a strong strategic culture inside an organization, leadership must emphasize strategy as a learning process and ensure that the process is robust. It is not an exact science, and it takes time and resources to fully develop, but once it is ingrained in the organization, three outcomes will be noticed:

- Greater ability of the organization to focus on the right things that will drive growth while maximizing the organization's use of resources
- Competitive advantage in the organization's ability to develop emergent strategies that quickly address changes in the environment

- A learning culture that cultivates the capabilities of the organization to perform at a superior level

Enhancing Skills and Perspectives of Strategic Leaders: Thinking, Acting, and Influencing

Although organizations strive to create the conditions such that strategy can be a learning process, individual leaders shape that process by enacting skills in three areas: strategic thinking, strategic acting, and strategic influencing. In addition, since strategic leadership is inherently a collective activity, it is not enough to enact these skills alone; rather, strategic leaders must create the environment for others as well to think, act, and influence.

Strategic Thinking Strategic thinking includes the cognitive processes required for collecting, interpreting, generating, and evaluating information and ideas that shape an organization's enduring success (Hughes and Beatty, 2005). It is clearly required, yet numerous researchers have noted the lack of true strategic thinkers in today's organizations; for example, research from the American Management Association (cited in Horwath, 2008) found that just 4 percent of leaders exhibit strategic thinking skills, and the general consensus is that organizations today are not much better at strategic planning than they were years ago.

Part of the challenge is that classic tools to facilitate strategic thinking (SWOT analysis, portfolio analyses, scenario planning) are overly disciplined and mechanistic (Hunter and O'Shannassy, 2007; Service, 2006), and they therefore displace the real art of strategic thinking. But artful approaches can supplement these mechanistic tools—for example, visual processing, synthesis, the use of intuition, and engaging the heart in the process (Hughes and Beatty, 2005).

The strategic thinking process is as much social as cognitive. Bringing people into close social interaction to discuss the future of the organization informs the cognitive process, and leadership must ensure the high quality of that interaction and discussion. In fact, an author and expert who tries to help leaders minimize their own distortions and biases in strategic decision is likely to suggest a social approach, involving others in the organization with helping the leader work through the process (Lovallo and Sibony, 2006).

Strategic thinking involves a variety of skills, including scanning, visioning, reframing, thinking in terms of systems, and making common sense. (For a

more detailed explanation, see Hughes and Beatty, 2005.) Often overlooked in developmental efforts, these competencies collectively enhance strategic thinking.

Strategic Acting Strategic acting may seem simple at first glance. Certainly executives typically do not have difficulty acting; in fact, they make tens, if not hundreds, of decisions each day. But not all acting is strategic in nature. Strategic acting is that kind of decision making that commits resources to build enduring success. It translates strategic thinking, in which one considers and chooses alternatives for future success, into active priorities, where resources are committed.

There are several barriers to effective strategic acting. For example, strategic decision making involves relative uncertainty and perceived risk. Most leaders, however, have risen through the ranks through their operational success, where they excelled in making quick decisions by reducing ambiguity and where the impact of their decisions was quickly shown. It is a difficult shift to decisions where the outcome will not be known for months, years, or even longer.

In addition, our survey data of over fifty-two thousand leaders indicate that many organizations have strategies that neglect to discriminate, attempting to be all things to all people. Consequently it is difficult to act with the long term in mind because there is neither focus nor common understanding of what it takes to succeed in the long term. In essence, the organization has not done the thinking or the influencing required for good strategic action.

When strategy is well enacted, the actions throughout the organization align with the strategy, and bold steps are taken that move the organization forward and also inform future strategy. Acting in a strategic fashion uses skills in acting decisively and courageously in the face of uncertainty, staying open to learning, and creating an environment for strategic acting. (See Hughes and Beatty, 2005, for a more thorough discussion.)

Strategic Influence The inclusion of influence in our list of strategic leader practices is probably not surprising, as the work of leadership is inherently tied to influence. What, then, makes influence strategic in nature? Leaders exercise strategic influence when they do so in service of the long-term success of the organization. For example, getting people aligned regarding the long-term direction of the organization is strategic influence. Clearly the impact of strategic

influence is felt beyond one's team and function, perhaps even beyond the division or organization. Strategic influence also takes time—sometimes months or years. It cannot be accomplished in one interaction with people.

Given the broad scope of strategic influence, leaders must do more than develop their skills in using various influence tactics; they also need to gain skills in building a foundation for influence; exercising influence tactics that build direction, alignment, and commitment; building and sustaining momentum for an effort; and being open to influence from others. (See Hughes and Beatty, 2005, for a more thorough discussion.)

Although we have addressed strategic thinking, acting, and influencing separately here, clearly they work closely together. Any decision or action a leader takes can be affected by thinking, acting, or influencing. As Allio states (2006, p. 8), "Any clever armchair strategist can concoct an elegant strategy. But it falls to the leader to forge a community of employees dedicated to implementing the strategy."

DEVELOPING STRATEGIC LEADERSHIP

Since strategic leadership practices occur at both the individual level (through thinking, acting, and influencing) and at the level of the collective (through the leadership practices outlined in SLP), attention must be paid to both levels to truly develop strategic leadership capabilities throughout the organization.

Developing Thinking, Acting, and Influencing Skills in Leaders

For years, people have argued about whether it is possible to develop strategic abilities, especially strategic thinking. Although we believe that leaders possess certain cognitive capacities, strategic leadership uses much more than just cognitive capacities. For example, strategic thinking involves social processes, and leaders can learn to draw out others who may have the information necessary for the overall thinking and decision-making process but may be quiet about offering their perspective. Even if strategic thinking is defined in purely a cognitive way, training can improve it (Marcy, 2008).

Leader development begins with assessment. Exhibit 11.1 is a tool to quickly assess an individual's strategic thinking, acting, and influencing skills. It also provides a sampling of key thinking, acting, and influencing skills and perspectives required of strategic leaders, and can be used as a basis for rating oneself or others.

Exhibit 11.1
Strategic Leadership Profile

Using the following five-point scale, select a rating to indicate your level of competence in each of the items listed below. **1 = deficient; 2 = marginally effective; 3 = effective; 4 = highly effective; 5 = exceptional**	Rating
1. Scans the environment for forces and trends that could have an impact on the organization's competitiveness	
2. Casts that net widely enough to capture and involve the right people with the right information in discussions or decisions	
3. Facilitates conversations so that all necessary information and points of view are considered	
4. Understands own biases and does not let those biases play too strong of a role in his or her thinking	
5. Sees relationships and patterns between seemingly disparate data and asks probing questions about the interactive effects among various parts of the business	
6. Identifies key points or issues and discerns the truly significant information among the large amount of data available to be considered	
7. Is clear about both what should be done and what should not be done	
8. Offers original, creative ideas	
9. Implements tactics consistent with strategy	
10. Is decisive in the face of uncertainty	
11. Manages the tension between success in daily tasks and success in the long term	
12. Recognizes the need to adapt existing plans to fit changing conditions	
13. Learns from actions by deliberately reflecting on the consequences and uses such learning to inform future decisions and actions	

(*continued*)

Exhibit 11.1
(*continued*)

Using the following five-point scale, select a rating to indicate your level of competence in each of the items listed below. **1 = deficient; 2 = marginally effective; 3 = effective; 4 = highly effective; 5 = exceptional**	Rating
14. Facilitates others' actions by providing them a helpful balance of direction and autonomy	
15. Finds ways to reward appropriate risk taking	
16. Makes decisions that are strategically consistent with each other	
17. Examines mistakes for their learning value (as opposed to apportioning blame)	
18. Understands own impact on others and how that affects the quality of collective work	
19. Understands the needs, styles, and motivations of others, and uses that information to communicate with others and influence them	
20. Deals effectively with resistance from others	
21. Builds a network of relationships with people who are not part of the routine structure of his or her work	
22. Develops a compelling vision of the future	
23. Navigates the political landscape without limiting his or her own credibility	
24. Involves others in projects and conversations to include their ideas and engender their support	
25. Creates champions throughout the organization to further his or her project or cause	
26. Uses aspirational language and stories to draw people to his or her concepts	
27. Celebrates and advertises successes to build and sustain momentum	
28. Is open to influence from others	

Those aspiring to develop in this area also need challenges that prompt growth. Given the breadth of skills required of strategic leaders, the best developmental path will include challenges in multiple domains over the course of a person's career, or even a lifetime. Certain transitions in one's career involve increases in the need for strategic leadership (for example, the move from functional manager to general or business manager outlined in Kates and Downey, 2005, and Charan, Drotter, and Noel, 2001). Early life and family experiences, such as family travel across the globe, also contribute to strategic thinking skills (Goldman, 2007). The seeds of strategic leadership should be sown over time.

The types of general work experiences that hold fruitful challenges related to strategic leadership include (Charan et al., 2001; Goldman, 2007; Kates and Downey, 2005; Lombardo and Eichinger, 1989; McCauley, 2006):

- Leading a team: engaging with others, eliciting their ideas, and engendering commitment to the team's work
- Taking a rotational assignment in an unfamiliar part of the business: learning how different parts of the organization work together as a system
- Leading a project that requires coordination across parts of the business: learning to influence without authority
- Serving on the board of a nonprofit organization: learning to view the organization as a whole
- Leading a strategic initiative that is forging new ground in the organization: dealing with the complexity, sense making, prioritization required, and engendering commitment to the change
- Taking an assignment in the strategic planning department: facilitating planning that results in the learning required for effectiveness
- Managing a function: creating coherence between different groups and working with other functions, including competing for resources based on business needs; developing a functional strategy that blends with the overall business strategy
- Managing a business, with profit and loss responsibility: learning to balance between future goals and present needs

Ultimately the goal is to provide a succession of increasingly complex developmental assignments, paced so the individual can reflect on and learn from them, and apply the lessons to the next assignment.

In terms of support, Kates and Downey (2005) note that the promotion to general manager is the toughest transition in terms of strategic leadership, yet it is also where the least support is provided. There are limited role models due to small numbers, and rarely are other supports offered—not even transition plans or facilitated sessions with the new boss. It is as if organizations assume the person will automatically be successful in a new role.

Of course, nothing could be further from the truth, because every development effort needs to include support. Some of the best supports for strategic leadership are frequent-contact coaching and mentoring. Another issue to consider is how to make it acceptable (in fact, create the expectation) that the leader can enlist others and ask for support.

Developing Strategic Leadership in the Collective

All too frequently, people within organizations are told to "just do it" by leadership and organization development professionals. "Here's a model for making the organization work more effectively," they say. "Now go implement it." Having a cognitive framework such as SLP is only the first step in a development process. Equally, if not more, important are an assessment of where the organization currently stands relative to that framework, the ability to practice using that framework when the stakes are not too high, and coaching and support along the way as people attempt to institutionalize the new framework.

With respect to helping teams and organizations learn SLP, we have found several development techniques to be particularly useful.

Having a Cognitive Model or Framework The benefit of a framework such as SLP is that it provides a common language for people to use, a shared road map for where the collective is going. Having a common road map is not enough, though; different members of the collective will interpret that road map in different ways. For example, many organizations state the importance of quality in their visions or missions. But what does "quality" really mean? Fewest product defects? Most features? Exquisite service? There are many ways to interpret the word *quality* in a vision, mission, or even a driver.

Therefore, in order for the collective to come to a common understanding of the framework and its components, members must learn skills of dialogue, so they express their understanding, appropriately debate, and ultimately integrate the various perspectives into a common whole. In a sense, then, the framework

itself is less important than the dialogue and shared understanding it generates. In many cases, the collective does not have the skills to engage in productive dialogue. For example, there may be norms in the group to keep one's opinion private, not to challenge the leader, or to overemphasize advocacy rather than inquiry. For all of these reasons, too, simply having the road map is not enough. The collective must also go through a development process that includes other steps, such as assessment, coaching, and practice.

Assessing the Organization's Current State One of the best ways to start dialogue is to conduct a survey or quick assessment of the current state of the organization. Done well, this can promote conversation, open people to others, and get everyone focused and aligned to work together on areas for improvement.

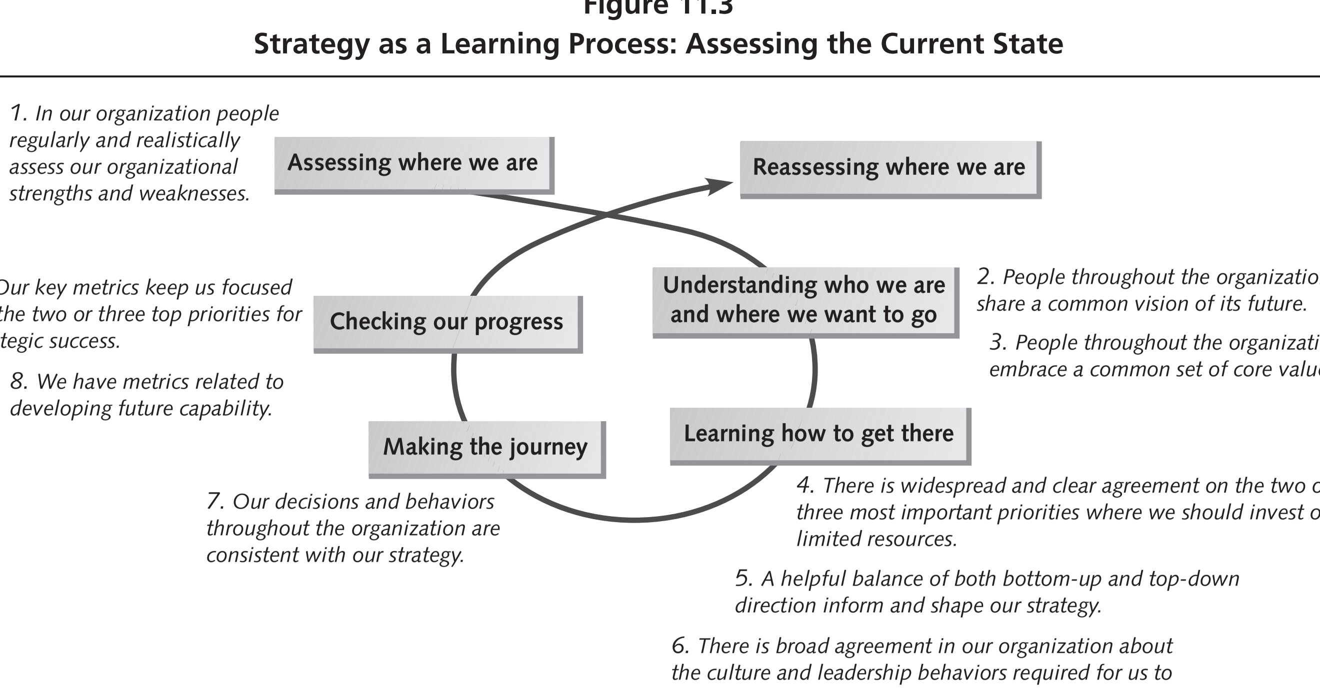
We use a simple tool we call the Strategic Leadership Practices Survey to get people talking about how SLP is (or is not) working in their organization. The tool, shown in Figure 11.3, consists of nine statements linked to the different areas of SLP.

There are several ways to use the tool. For example, people can rate each item on a five-point scale, where 1 is "strongly disagree that this is characteristic of our organization" and 5 is "strongly agree that this is characteristic of our organization." Or people can pick the top two or three items that are characteristic of their organization and the bottom two or three items where the organization needs to make improvements. The exact rating scale is less important than the conversation that ensues after the ratings are tabulated. It is important that multiple perspectives are heard and people have the opportunity to share their experiences and the impact of different decisions or processes or culture on their ability to effectively live SLP. Ultimately the various understandings must be integrated into one that is shared by all in the collective, that is, learning must occur.

Providing Guided Practice Through an Intensive Business Simulation Simulations are being used more frequently in developmental experiences, and for good reason. The learning retention rate of a standard lecture is quite low compared to the opportunity a person has to practice analyzing data, developing strategic dialogue with their team, making mistakes, and seeing the results. Clark Aldrich, a noted practitioner and builder of educational simulations, says, "A single simulation can teach someone in a variety of ways all at once, and for

Figure 11.3

Strategy as a Learning Process: Assessing the Current State



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this reason the medium is actually much closer to how people often learn from real-life experiences" (Morrison and Aldrich, 2003, para. 4).

Simulations provide a safe yet relevant opportunity to practice key skills and models. In the domain of strategic leadership, the work is intimately tied to effective decision making about the business, so having in-depth and accurate business information is critical. We use business simulations that involve decisions about both the strategy of the company going forward and tactical decisions to implement that strategy. Decisions are input into a complex computer model, and leaders receive financial and performance indicators that provide feedback about the effectiveness of those decisions. It is critical that the simulation feel relevant to these leaders and mirror the level of complexity that they face every day.

Simulations must also provide ample opportunity for debriefs and processing of what is happening, where feedback can be provided by facilitators and participants to individuals and subgroups. Feedback itself is not enough—coaching is needed as well—and both must be provided in a climate of openness and learning. In a sense, the simulation provides the challenge of the assessment, challenge, and support model. The feedback from the computer model, facilitators, and between participants is assessment, and the coaching and climate of development are support.

The feedback and support certainly include a focus on the behavior of individuals. But for the collective to develop, these conversations must also examine questions related to group process, such as these:

- What norms have been set, intentionally or unintentionally, in this group, and how are they helping or hurting the group?
- What decision-making processes are you using, and how are they working?
- Can everyone openly and honestly share their opinions and perspectives?

These questions address not just individual behavior, but the interplay between individuals and subgroups in the simulation. For example, frequently groups experience a kind of "bottom-up, top-down" tension in the simulation, where the majority of the group may be frustrated with the executive team. People who are frustrated may choose to discuss it in subgroups and see if others are feeling the same, and then sort through ways to deal with it. But it is rare for them to bring it up openly with the executive team. They view the executive team as responsible for the issue and do not see their role in allowing it to grow. It is rare for one person or subgroup to be "responsible" for poor group process or

dynamics. Instead, all parties share in the burden of making sure the group is working effectively. It is critical for debriefs to bring these points to the surface.

In addition to group process, the debriefs should examine questions related to the SLP framework. The framework itself can guide such questions; some examples follow:

- How is the team deepening its awareness of the critical business drivers of their organization?
- Have you fully vetted the assumptions about the customers—their behaviors, needs, and challenges?
- Have you identified your key talent pools that are absolutely needed to implement your strategy?

Action Learning After a group has the opportunity to practice these behaviors and frameworks in the safety of a simulation, the next step is to put them into a work challenge. We recommend using action learning because it is uniquely suited to the fundamental principles underlying SLP, suggesting as it does that we must both do and learn at the same time. In action learning, groups use the skills required for SLP for several reasons.

Action learning is best done with an action learning coach who provides guidance along the way. It is unreasonable to expect the group to master everything that SLP requires after just going through a simulation. They need some additional assessment and support from a coach as they navigate the challenges of real work.

In action learning work, care must be taken in choosing the project for the team. The project should have strategic significance so that SLP can be practiced—that is, its outcome must have implications for the long-term effectiveness of the organization. Criteria for choosing projects are shown in Exhibit 11.2.

It is also important to think through the role of senior management in the process. Ideally, senior leaders will participate in the development process themselves and therefore will be members of the action learning team. They then have the opportunity to model the learning and development that are fundamental to the culture of SLP. When the development is targeted at individuals lower in the organization, it is important to keep senior management closely connected. For example, senior management can participate in picking or approving the project.

Exhibit 11.2
Action Learning Projects Criteria for Project Selection

The project presents a real organizational problem that needs to be addressed:

- It will contribute to the long-term viability of the organization if accomplished effectively.
- It is not simple and straightforward; it represents a challenge for the organization.
- The organization desires some tangible results.
- The team must use diverse membership to approach this issue.
- The team must work across boundaries in the team and in the organization.

The project must be feasible:

- The competence exists in the group to address the problem; group members have the ability, knowledge, and experience with the problem to address it.

The problem, task, or issue should not be a puzzle:

- There are multiple possible satisfactory solutions, not just one right answer.

The project should be specific and time bound, and have a measurable impact:

- The team can generate a specific and clear statement of the problem.
- The team has adequate time to do quality work and can finish the work in a reasonable amount of time.
- The team can produce a tangible result with a measurable impact.

(*continued*)

Exhibit 11.2
(*continued*)

The team can define boundaries of responsibility for the project:

- What exactly is the team's responsibility:
  - To understand and isolate the causes of the problem?
  - To recommend solutions?
  - To experiment with solutions?
  - To implement solutions?
  - To evaluate solutions that have been implemented?
- Note that responsibilities further down this list will result in the potential for more learning from the team.

The project provides opportunities to learn:

- Team members can continue to learn about their own strategic thinking, acting, and influencing skills.
- The team learns about how to be a more effective strategic leadership team (SLT).
- The team can help the organization as a whole learn to be more strategic.

They should also spend time learning the SLP framework, so that they are familiar with the language and concepts the team is employing. Most important, the work has implications for the organization overall, so the senior management team must buy into it. Look for opportunities to build their awareness, buy-in, and readiness to engage in and lead the learning culture that is fundamental to SLP.

Finally, the coach in an action learning project has an important role. He or she should move away from showing and teaching for the group, toward gentle guiding around SLP and the learning climate necessary to make SLP work. Exhibit 11.3 provides some tips for the action learning coach working with a group to develop its strategic leadership capabilities.

Taking It to Others A danger in action learning is that a team working diligently to accomplish its objectives can isolate itself. With solid development processes, they likely can accomplish their objectives, but their impact will be

Exhibit 11.3
Tips for the Action Learning Coach

General

- The best action learning teams are composed of five to seven people. Beyond that, the logistics of scheduling meetings become unmanageable.

Role of the Action Learning Coach

- The role of the coach is to help the team learn. Teams are generally very good at the action. The coach must help them spend time—up to 50 percent of their time—on reflection, learning, and transference of that learning to other situations. The coach does this by making observations and asking questions.
- The coach is there to help the team discover what it likely already knows along the way of the project. The coach is not there to tell the team what to do.
- Curiosity and learning are important not just for the team members. The coach must also demonstrate it and be open to improving too. This is critical for credibility. The coach should feel comfortable, for example, asking for feedback from the team.
- The coach can provide tools, techniques, and frameworks to help the team do its work. However, these should be provided "just in time" so that the team can practically apply them.

Phases of an Action Learning Project

- *Contracting:* At the beginning of a project, contract with the team regarding the role of the coach. What will happen when the team is struggling? What will the team see the coach do and not do? Also contract about why the team is there. What is it trying to accomplish? Emphasize the balance of learning and action. Then ask each person individually if he or she understands, whether anything is missing, or what would they want to add. Do not take silence as an agreement.

(*continued*)

Exhibit 11.3
(*continued*)

- *Beginning the work:* Let the team dive into their work and their planning without prescribing how they should begin. The team should have a clear definition of the task in front of them. They likely will not have much difficulty planning their task. Do they spend time on creating an environment for learning?
- *Doing the action and the learning:* As the team moves into the task, there will be rich opportunities for the coach to observe, share observations, and ask questions. The questions are often the most powerful tool that he or she has. If there is a tool the coach thinks would be useful for the team, he or she should offer it just-in-time. The coach should also ask questions to help members transfer the learning to other situations. Learning should be applied in multiple ways.
- *Closing:* Often the project finishes with some kind of presentation to a broader audience, signifying the end of the action. But that does not necessarily signify the end of the learning. The final debrief is important to wrap up lessons from the experience and how they will be applied in other situations. Finally, as the team disbands, attention should be paid to dissolving it.

Key Challenges for the Action Learning Coach

- One of the most difficult challenges for the coach is to balance letting the team struggle and learn for itself with intervening to help them move forward. When in doubt, let the team struggle, and then help them reflect on the struggle.
- Another key challenge is creating a learning environment on the team. What norms need to be set for learning to occur? What will happen if the environment does not feel conducive to learning for one or more people? How might the coach encourage curiosity in others? Find ways to encourage questions; for example, suggest they write down two or three questions they have about each other or about the process they just engaged in.

Exhibit 11.3
(*continued*)

- Make sure all learning styles are being addressed. For example, ask a range of questions, such as those that begin with Why? What? How? and What if? Similarly, make sure various learning tactics are used, such as reflection, discussion, learning from others, and learning by doing.
- The coach must watch the tendency to be overly positive or overly negative in his or her observations. Make sure the observations are balanced.
- Keeping boundaries clean is important; the coach must not become an actual member of the team.
- It is not important that the team like the coach. Similarly, it is not important to impress a team with how much one knows. Remember that the focus is on the team and what they are learning from their experience; it is not about the coach.
- While it is important that the team successfully complete its project, the ultimate goal is to apply what they are learning to other situations outside this team so that the lessons are institutionalized throughout the organization. Therefore, the coach should make sure that team members are building the capability to apply the lessons on their own. The coach should not allow the team to become dependent on him or her.

limited if they do not involve others. They must take it to others—the next step in the development process. For example, the team may choose to gather others' input through a variety of mechanisms, such as interviews, focus groups, open space technology, and collaborative technologies.

Taking it to others has many benefits in the development process. For example, it creates accountability for the action learning team. As soon as they begin to engage others in their process, their work becomes public, and this increases motivation. Involving others in the work is also a key underpinning of the strategic learning process. A group should not work through strategic issues without engaging stakeholders who are affected by their work.

Finally, as others are engaged in the process, they can learn more about strategic leadership as well. Simply by participating in gathering information, they begin to see the culture evolve toward one of learning, encouraging them to do so in their work as well. The action learning team may even go so far as to teach SLP to others and share other lessons about strategic leadership. This makes the learning process for the broader group more intentional, resulting in more progress toward change. The process of taking it to others creates a critical mass of people who are engaged in the possibilities once strategic leadership is unleashed in the organization. As the critical mass begins to practice strategic leadership in other projects and other parts of the organization, it becomes institutionalized.

It is important that the action learning team (not the coach) take the lead for this part of the process. The work of taking it to the middle is indeed part of the work of SLP, and therefore it is part of the development process to plan, prepare, and conduct it. When the team makes mistakes, the coach should encourage and support their learning from those mistakes. This is especially important since the action learning team will generally feel a strong sense of pressure as they make their work more public. This can be an excellent opportunity to model learning (not perfection) for the rest of the organization.

An Example of a Development Process for the Collective

Over the course of about one year, nearly twenty people from a local municipality attended CCL's Developing the Strategic Leader program, where they learned about their thinking, acting, and influencing skills and the SLP framework and participated in a business simulation. Each person attended different offerings of the programs, so there were limited opportunities to apply it directly to their organization. A senior-level police officer saw potential benefits of the course to the city government overall. After conversations with the city manager and the human resource department, the individuals embarked on an action learning project with trained CCL facilitators as their coaches.

The city manager kicked off the project noting that he valued the individual development each person was doing. Yet he also recognized that these leaders, who came from a cross-section of the organization, had an opportunity to make a difference by collaborating across traditional departmental boundaries and finding ways to help the organization function more strategically. He asked them to pick a project that they thought could benefit the city overall.

They used the criteria in Exhibit 11.2 and after much deliberation settled on a specific project to examine and make recommendations about the structure of the information technology (IT) function. At the time, the IT function was quite decentralized, with each department controlling its own budget and key decisions. Department directors had been reluctant to give up their authority, noting differing security requirements and other needs. However, a consultant had already determined that the city could save money by consolidating the function, and many sister cities that the group researched had done so. The group chose to tackle this project, but they held a longer-term goal in mind as well. Specifically, each of them had come to see the benefit of cross-unit collaboration in the simulation. They realized that the revenue (tax) stream for the city overall was likely to soften given various laws, the political environment, and other economic factors. In addition, this city was experiencing a growth in demand for services from the government, and so they needed to find ways to stabilize the revenue source. The team believed this could not happen without the more collaborative strategic processes they had learned at CCL. So they embarked on this project to learn and institutionalize a process of strategic collaboration that could be replicated. In a sense, collaboration across departments became the key focus for this team—they even discussed it as being a driver for the success of the city moving forward—and their ultimate goal was to create the culture of collaboration that is critical for strategy to become a learning process.

The group used the concepts of thinking, acting, and influencing, as well as SLP, in their work. For example, they recognized the importance of strategic influence in this project and spent time planning and executing how they would successfully influence others. They interviewed all department directors (who would be key to successful implementation of the new structure) and solicited input using a questionnaire from key managers. A key step in their influence process was a series of focus groups (taking it to others) within IT. During these focus groups, the team took the opportunity to address concerns about the change. They practiced collective influence by demonstrating to the attendees that they had done their research, were listening carefully to concerns of those involved, and had the best interests of the city overall in mind.

They incorporated learning into every meeting and eventually took on the responsibility for their learning. For example, they appointed a process observer each time they came together who would make observations throughout the

meeting and debrief it at the end. They also held two retreats over the course of the project, where they focused only on what they were learning about themselves, their team, and the process of changing the culture in the city. The coaches also facilitated their learning by doing periodic evaluation surveys, feeding back the data, and encouraging dialogue both celebrating successes and identifying things to do differently going forward.

The group recommended an IT structure that was adopted and included the hiring of the city's first chief information officer. More important, the group decided to continue their work and picked other projects to work on. They even initiated a collaborative project with the neighboring county government. This was an important step for them toward their overall goal of finding new ways to collaborate so that they could stay financially viable.

The development of the collective in some ways parallels the development of the individual: the collective learns by having a shared cognitive understanding of how to operate, gaining awareness of where they are relative to that goal, practicing in a safe environment with the help of a coach who will provide feedback and support, trying it with support in a real work situation, and then expanding the impact to others in the organization. Learning to work together as a cohesive unit involves not just individuals' learning new skills, but also finding how those skills connect with others who are also learning new skills. It is a dynamic system. And in the realm of strategic leadership, it is critical that this all occur in the context of the business, because all of this leadership development is intended to further the long-term success of the business overall.

CONCLUSION

The development of strategic leadership must happen not just at the individual level but at the team and organization levels as well. Although any member of a team may be working on thinking, acting, and influencing skills, the team itself will benefit from discussion and focused attention on how strategically it operates. Similarly, organization leaders must attend to the culture, systems, and processes of the organization to ensure they support strategy as a learning process. Through attention to all these levels, organizations can enhance the leadership capability and capacity for enduring success.

chapter
TWELVE

Developing Globally Responsible Leadership

Laura Quinn
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The urgent issues of our time are global. Failing business models, climate change, and the increasing disparities between rich and poor are brought into instant awareness by rapid and interconnected communication. People everywhere are revisiting the role of business in society because unlike government, business is itself global, with unprecedented reach and influence. Business organizations are being asked, and increasingly required, to operate in more globally responsible ways—paying attention to their financial, social, and environmental impacts. Taking on this broader focus demands a systemic, long-term view, and a new understanding of both organizational leadership and business operations.

We define a business that addresses financial, social, and environmental issues as a globally responsible organization. Although there are many ways to describe global responsibility (sustainability, corporate social responsibility, corporate citizenship, community relations, corporate stewardship, and triple bottom line), in this chapter we use the terms *global responsibility* (GR), *globally responsible leadership* (GRL), *corporate social responsibility* (CSR), *social responsibility,* and

sustainability interchangeably. All are meant to suggest that businesses must be more than just profit-seeking entities; they have an obligation to benefit society, limit the detrimental impact of their operations on the environment, and demonstrate leadership in accordance with those principles. The idea of global responsibility suggests that businesses care for and are accountable to all of their stakeholders in all aspects of their operations at all their locations around the world.

Unfortunately, it is easier to define this kind of intention in a broad way than to be more specific. Operating globally requires organizations and leaders to work across cultures with different value systems and across nations with different legal systems, political priorities, social issues, and languages. What one society sees as social or environmental responsibility might not be understood or permissible in another. Or what one culture sees as tradition might be illegal elsewhere. This complexity of GRL has great potential to overwhelm even the best-intentioned organization.

Furthermore, not much is understood about how organizations and individuals develop to deal with the expanded and integrated principles of sustainability and GRL. GRL increases levels of complexity in leadership roles. While many have called for greater corporate social responsibility, these broad calls rarely acknowledge the leadership development work needed to make an organization globally responsible. Often the organizational culture needs to change as well. Actually, until recently we have not made much progress in describing precisely what GRL cultures look like or how to develop the beliefs and leadership practices that support global responsibility in complex and global organizations. The development of individual leaders also plays a central role in creating change in organizations, communities, and nations, yet many organizations find that the needed leader capabilities are hard to define and develop. Over the past several years, however, we have begun to explore what it means to develop a socially responsible leadership culture.

In order to take on a globally responsible leadership agenda—setting the direction, creating the alignment, and maintaining commitment to sustainability—most business organizations must transform themselves from ones that prioritize short-term financial goals and shareholder returns to ones that balance the need for financially robust operations with care for the environment and for the interests of a wide variety of stakeholders: employees, nongovernmental organizations (NGOs), and local communities in which they operate, for example. This kind of

transformation requires both leadership development at the organizational level (the development of a globally responsible leadership culture) and leader development at the individual level. While many organizations may start with individual leader development or assume it will suffice (that the problem to be solved is the lack of individual leader capacity), for reasons that will be further explored in this chapter, developing individual leaders is neither sufficient nor necessarily the best starting place for creating the organizational-level transformation necessary for global social and environmental responsibility.

In previous years, we, like many of our colleagues, focused on identifying global leadership competencies—what it takes for individual leaders to be effective in global roles. Dalton, Ernst, Deal, and Leslie (2002), for example, found that for global leaders to lead effectively across time zones, country infrastructures, and cultural expectations required what they referred to as both essential capabilities (managing people, managing action, managing information, coping with pressure, and core business knowledge) and pivotal capabilities (international business knowledge, cultural adaptability, perspective taking, and skill in the role of innovator). Yet this study and others (for example, Goldsmith, Greenberg, Robertson, and Hu-Chan, 2003) focused for the most part on the skills and abilities needed by the individual leader operating in a global role. They did not focus specifically on what it takes for an organization to operate globally in a way that is financially, socially, and environmentally responsible or on what beliefs and practices are evident in a GRL culture.

While the capabilities needed for leader effectiveness in global roles are certainly relevant and applicable to globally responsible leadership, our emphasis here is specifically on responsible leadership applied globally rather than on global leadership more generally. Moreover, we want to learn how to best develop both individuals and organizations to operate and lead in a way that produces positive financial, social, and environmental results around the world. And, of course, responsible leadership has both global and local aspects, in that what is effective practice is frequently nuanced by local customs and values, religious traditions, varying economic and legal structures, and interaction with a wide variety of social institutions.

As part of our work, we have conducted several research projects on aspects of globally responsible leadership with numerous organizations based in North America, Europe, and Asia (D'Amato, Eckert, Quinn, Van Velsor, and Ireland, 2009; Quinn and Dalton, 2009; Quinn and D'Amato, 2009), and we have

developed and used various learning modules on the topic of global responsibility in our work with various programs and clients. We have also learned extensively from our active participation in several global organizations and networks focused on global social responsibility, such as the Globally Responsible Leadership Initiative and the European Academy for Business in Society, as well as our own individual learning and teaching pursuits. Much of what we present in this chapter is based on this body of Center for Creative Leadership (CCL) work.

In the next section, we explore more about how GRL may be defined. In later sections we discuss the challenges of developing GRL, the kind of organizational culture (individual and collective beliefs and practices) that appears to support its development, and some practical tools and techniques for developing the organizational and individual capacities necessary for GRL. The chapter concludes with implications for further progress in understanding globally responsible leadership development.

FURTHER DEFINING GLOBALLY RESPONSIBLE LEADERSHIP

To explore the development of globally responsible leadership, it is important to be clear about how the concept is understood in organizations. Many organizations pursuing responsible practices tend to use the U.N. World Commission on Environment and Development (also known as the Brundtland Commission) definition of sustainability as a guide for action; the U.N. definition suggests organizations should "meet the needs of the present without compromising the ability of future generations to meet their own needs" (World Commission on Environment and Development, 1987). Its proponents are typically well versed about the concepts of sustainability and GRL and have spent significant time reflecting on the complexity inherent in working to integrate environmental, social, and financial goals in different parts of the world. Another particularly helpful and widespread concept is that of the triple bottom line, which asks organizations to pay attention to the impacts their operations have not just on profit, but on people, planet, and profit.

How well versed managers and executives are in their ideas about sustainable development varies across companies and cultures. Most articulate the common theme of improving the quality of life both locally and globally through improved working conditions, care for the environment, and attention to social problems. Managers and executives tend to view social responsibility, sustainable

development, or the triple bottom line, or all of these, as powerful and useful concepts that are both complex and ambiguous. There is also widespread recognition that because business, society, and the environment will always be in a state of change, sustainability and corporate social responsibility represent continuous, long-term processes rather than an end state or something that can be addressed through a quick fix. We find strong consensus that responsibility processes can and should be considered in the process of making everyday decisions and that achievement toward sustainability can and should be pursued. There is also a range of responses and approaches to global responsibility. In some organizations, global responsibility is an add-on—something relegated to a corporate affairs or public relations function. Others regard it as a strategic competitive advantage and an urgent priority that they need to integrate with strategy and operations.

THE CHALLENGES OF DEVELOPING GLOBALLY RESPONSIBLE LEADERSHIP

Globally responsible leadership development, as we define it here, is more specifically focused on creating organizational cultures that support financial, social, and environmental responsibility than are some well-known frameworks on developing global leadership (for example, Goldsmith et al., 2003). So in addition to the challenges of global leadership, including working across multiple time zones, country infrastructures, and cultural expectations, organizations trying to develop globally responsible business practices face unique additional challenges.

In this section, we briefly describe three main challenges to developing globally responsible leadership in organizations:

- Building and maintaining commitment to GRL
- Embedding globally responsible action (for example, policies, practices, processes, decisions) into business operations worldwide
- Developing an organizational culture (beliefs and practices) that supports GR

Like challenges at the individual level, organizational challenges can be seen as obstacles and reasons not to develop or as catalysts for development. Organizations that are most successful in moving toward globally responsible business practices recognize and try to address all three of the challenges as they develop new individual and collective leadership beliefs and practices.

Building and Maintaining Commitment to GRL

Building and maintaining organization-wide commitment to a GRL vision is an ongoing challenge for organizations and for leaders, and yet it is the basis on which the alignment of systems, processes, and priorities must be built. While organizational commitment to GRL often comes initially from the CEO and the executive team, the reality is that even when top-level commitment remains strong, the commitment of others to the importance of globally responsible operations often varies across an organization, from individual to individual, group to group, or one level to the next. It also varies over time depending on other contextual aspects such as economic conditions or competing priorities (Campbell, 2000). Business downturns, for example, make it is easier for managers throughout the organization to conclude that the most important priority for decision making is short-term profitability rather than longer-term costs or other kinds of risk. So compounding the challenge of securing widespread commitment to the idea of socially responsible operations, another commitment is also required: a commitment to the hard work of balancing competing priorities and accomplishing other changes that must take place across the organization. For example, what needs to change about how individual and organizational performance are assessed as social responsibility becomes a goal?

Embedding Global Responsibility into Business Operations

Fully operationalizing a globally responsible business strategy often means changing how the business works—its policies, systems, and processes—as well as how decisions are made, what takes priority, and what people understand about how they are to go about doing their jobs. In order to move GR strategy into the everyday work of each organizational member, into each system and each process, into the organizational culture, and into the very business case on which the organization operates, several things have to happen, each one presenting its own set of challenges across an organization:

- The implications of GRL vision and strategy must be understood through the lens of each business unit, function, location, system, process, team, and individual. Every employee needs to know what being globally responsible means in his or her own work. Organizations often encounter a series of challenges around communication.

- People must be comfortable and skilled at working across internal boundaries of level and function, personal boundaries of social identity, and external boundaries of organization, country, and region (see also Chapter Thirteen). In enacting GRL, employees must deal with different standards of fairness or honesty, different environmental regulations, and different social problems, and so must be able to share best practices across boundaries of function, level, and region. In addition, both managers and employees need to feel empowered to act in the service of GRL.
- Management, and particularly top management, needs to be seen as providing a sustained base of support for decision making that gives weight to GRL. Whenever it becomes clear to employees that the GRL strategy is more talk than action, that dilutes the commitment to GRL organization-wide. This is true even in times of economic downturn—a time when top leaders have a unique opportunity to demonstrate how important the GRL strategy really is.
- The organizational culture (leadership beliefs and practices) needs to be developed so as to enable generation of direction, alignment, and commitment to GRL across the board.

Developing an Organizational Culture

Developing globally responsible leadership usually involves some degree of understanding and often transformation of organizational culture (that is, of collective beliefs and practices), as well as change in the beliefs and practices of individuals in the culture. As this suggests, change in beliefs and practices may be required of both leaders and those who may not be seen (and do not see themselves) as leaders. In fact, one of the goals or outcomes of successful transformation may be that every employee sees himself or herself as having a leadership role in the organization when it comes to global responsibility. We will say more about empowerment later. Suffice it to say that what we are describing here is something much more challenging than building a set of competencies in managers. The beliefs and practices of CSR need to cascade throughout the organization.

One can look at the challenge of developing globally responsible leadership as encompassing the challenges inherent in introducing anything new into an existing culture or creating any major culture change in a global organization.

What is particular to this challenge has to do with developing the leadership beliefs and practices that support globally responsible business operations.

Beliefs are important because we know that beliefs about the facts often drive behavior or leadership practice more strongly than do the facts themselves. And both individual and collective beliefs are important because while the beliefs of an individual employee will drive what he or she does in a particular situation, collective beliefs are the basis for organizational norms about what kinds of decisions and actions are seen as reasonable and right. For example, even when top management supports a culture of global responsibility, if managers and employees believe they will be evaluated mainly in terms of financial productivity, they will be reluctant to take actions that they see as risking their group's bottom line, particularly in an economic downturn. Similarly, if employees and supervisors collectively believe they must depend on more senior executives to tell them how to implement GR strategies locally, they will not feel or show much empowerment.

The challenge of developing employee empowerment is closely connected to the challenge of developing culture. It is not simply a matter of building the decision-making skills and confidence of individuals. It is also a matter of building a culture that seeks and rewards empowered behavior, and it takes time for people to gain faith that new practices will be sustained and rewarded. Yet when employees do see that, they are rewarded for, say, working in their day-to-day jobs to reduce a company's environmental footprint or becoming involved in a visible project with positive social or environmental impact the culture will change.

In organizations that already have a strong culture of empowerment and global responsibility, we have seen that goals like building and maintaining commitment to GRL and embedding GR into operations become somewhat lesser challenges. For example, at one maritime services company we have worked with extensively, core values of empowerment are not only aspirations on paper, but are actively nurtured and enacted by managers at all levels. In that organization, empowerment and global responsibility are key themes discussed and assessed in the context of management development programs, and processes are in place to share best practices. Finally, strong organization values of stewardship, empowerment, innovation, and care for employees are widely held.

Each challenge discussed here poses both a threat and an opportunity to an organization moving toward greater global responsibility. And it is clear that these challenges are themselves interrelated. But what is encouraging is that in

organizations having good track records for balancing people, planet, and profit, each of these complex issues has been effectively addressed by way of the beliefs and leadership practices, which form the basis of a GRL culture.

GLOBALLY RESPONSIBLE LEADERSHIP BELIEFS

Although our work to explore leadership for global responsibility did not set out to study the mind-sets that support global responsibility, it was not long before we realized that certain attitudes and personal philosophies play a significant role in creating or defining a culture of global responsibility. To some extent, individuals' attitudes develop as a result of being in a GRL-oriented company culture, and to some extent a predominance of individual GRL-oriented belief systems creates the kind of culture that supports globally responsible operations. In any case, we find that the individual and collective beliefs about leadership for sustainability support and inform the leadership practices that work to create the direction, alignment, and commitment (DAC) that effectively integrates social and environmental responsibility into business operations. We think that naming these supporting belief sets is important, so they can be further cultivated within organizations or sought out, particularly in new employees. We name them in Table 12.1.

Following are some of the mind-sets we see pervading best practice GRL organizations:

An Ethic of ''Perform, Don't Advertise''

By this we mean the ethic that one should engage in responsible leadership with respect to social and environmental issues because it is the right thing to do and not primarily for the reputational benefits it provides. This belief also pertains to the idea that global responsibility is or should be at the core of every organization's role in the world; it is a taken-for-granted aspect of how to run a business. In addition, most best practice organizations seem to be particularly sensitive to and opposed to the idea of greenwashing, that is, spending more effort on publicizing than on creating sustainable change.

Globally Responsible Leadership as a Powerful Idea and an Opportunity

Most of the organizations we have worked with feel they started their CSR activities before the idea of CSR or GRL was highly visible in the business or popular press. Most see themselves as organizations that have demonstrated care,

Table 12.1
Beliefs Supporting Globally Responsible Leadership

Beliefs Supporting Globally Responsible Leadership	Sample Statements
Perform; don't advertise.	Actions more important than reputation. GR is our job. Greenwashing (disingenuously describing products and polices as environmentally friendly) is not good practice.
GR is a powerful idea.	Useful in framing strategy and motivating and recruiting employees. Not a risk or cost. Can be a source of many competitive advantages.
GR is a great opportunity.	A stimulus to innovation. Provides cost savings, waste reduction.
GR is ongoing, requiring a long-term perspective.	A both-and idea, not an either-or concept. Attention should be placed on impact beyond quarterly horizons. Need to consider impacts on future generations.
It is not helpful or practical to wait until everyone is ready to pursue GR.	There will never be a time when everyone is ready. Start to move forward, and people will follow.
Everyone needs to play a role in GR activities.	Openness and employee involvement are key aspects. Ideas can come from anywhere.
GR is personal.	Efforts in your personal life are important. Recycling, volunteering, conserving resources, carpooling, and community work all contribute.
Organizations have the power and influence to improve the world, and this should be used to full advantage.	Business is a powerful change agent. Business has a responsibility for improving the world.
If you are standing for what's right and true, it will sell itself.	You shouldn't have to sell your corporate social responsibility efforts. Better to act responsibly than to focus on PR. Greenwashing is wrong.

particularly for employees and the local communities, from the time of their founding. So while most had long believed that CSR is or should be the core of any business, once they became aware of a triple bottom line or GRL framework, they came to see these are powerful ideas to conceptualize and communicate about what they had been doing and to form the basis for more focused action going forward.

Best practice organizations see GR as an opportunity that can lead to strategic competitive advantage. While an obstacle to GR culture change can be the belief that activities of this kind are a cost rather than a potential source of anything beneficial for the business, in best practice organizations, GR is believed to be a source of many important benefits (for example, reduced cost, new revenue streams, employee recruitment and retention, a catalyst for innovation), particularly over the longer term. These organizations believe that because global responsibility asks them to see things differently, it also gets people thinking of their day-to-day work in a new light, often resulting in innovative products or services and improved systems or processes for the organization or industry.

One global shipping company with which we have often worked has a deeply embedded sense that continuous improvement in the environmental impact of its operations is intimately bound up with being an innovative, best-in-class organization. When given the opportunity to make a presentation at an innovation conference sponsored by one of their biggest customers, it presented a "concept ship" that embodied all that would be needed for the shipping industry to have zero environmental impact. Although this company cannot currently imagine being able to accomplish all that would be required to operate this ship, the concept nevertheless provides a vision and direction for the company's R&D efforts, and many important changes inspired by this model have been made to new ships.

Responsibility Is an Ongoing Process Requiring a Long-Term Perspective

This mind-set is especially important in facing the challenge of managing priorities that may seem to conflict in the shorter term. When making financial decisions and trying to decide between quarterly profits and the right thing to do, organizations that can take a longer-term view seem more likely to be able to use practices that reflect a both-and versus an either-or option. This kind of open-ended thinking catalyzes innovation of new products and services or of internal systems, processes,

and business models. One company with which we worked devised system and process innovations to reuse waste to avoid both disposal costs and the fines that had been levied in the past. Another characteristic of the long-term perspective focuses on addressing the needs of future generations, supported by the belief that consideration in all actions and decisions needs to be given to our children's children.

It Is Counterproductive and Risky to Wait

Organizations focused on social responsibility do not believe in waiting for their organizations to be fully ready to pursue responsibility. Instead, they believe they will never be absolutely ready and that jumping in is the best way to get started. Best practice organizations seem to have realized that waiting for readiness is a means of staying in a denial state (Mirvis and Googins, 2006). This attitude of moving forward is certainly linked to the idea that global responsibility is a long-term, ongoing process and allows an organization to ignore the naysayers for the short term (unless the CEO is the one doing the nay-saying). Responsibility-oriented companies appear to understand that waiting to get the negative people on board will waste energy and cause them to miss opportunities for action.

Everyone Has a Role to Play on the Responsibility Journey

While this belief may at first seem at odds with the previous one (don't wait for everyone to be on board), it signifies an attitude toward openness and employee involvement that is key to moving the organization forward and building energy for and commitment to the organizational change and alignment work that must be done. This belief is the basis for managers' willingness to listen to ideas bubbling up from various levels and locations about how to implement or improve socially responsible practices across the organization. In one pharmaceutical company in India, managers foster a climate in which chemists are strongly encouraged to be involved in advancing the practice of green chemistry, that is, creating ways of developing new drugs that produce water as a by-product—a resource much needed in that country.

Responsibility Doesn't End When You Leave Work for the Day

In the organizations we have worked with, we have been impressed with the extent to which most individuals, employees and managers alike, take seriously the need for personal commitment to global environmental and social change.

People in these organizations believe that global responsibility (caring for one's own environmental footprint and contribution to social justice) should be a part of one's home life, as much as it is part of one's work environment. As such, a large proportion of people in these best practice organizations believe in and practice recycling and energy conservation at home, making fair trade purchases, as well as making financial contributions or doing volunteer work for local, national, or international causes.

Organizations Should Use Their Power and Influence to Improve the World

Another belief in organizations doing a good job with globally responsible leadership is one that goes beyond personal accountability. It has to do with recognizing the real power of organizations, especially large, global organizations, to make significant differences for social and environmental sustainability in the years to come. People are aware that business operations have a huge contribution to make by changing their practices with respect to environmental damage and social responsibility (for example, fair wages and good working conditions worldwide, providing health and education benefits), and in the GR companies we have worked with, managers and employees believe organizations should use their influence to create global change. They believe that acting in responsible ways means adhering to standards stricter than those legally allowed by country environmental and labor laws. For example, there is widespread employee pride and participation in company-sponsored hunger relief programs in one global food company in Poland, where childhood malnutrition has been a serious problem. And in another organization, managers and employees speak openly about the company's poor environmental performance in the past and the vast changes that have been made in terms of recycling waste to become a sustainability leader in their industry.

If You Are Standing for What Is Right and True, It Will Sell Itself

This is a belief we hear articulated by managers in some of the best practice GRL companies, and we think it potentially has both positive and negative effects. What it means to people is that they do not feel the need for special selling of GRL within the organization or special efforts to publicize externally what the company does with respect to social or environmental issues. They voice some suspicion of the practice of publicizing GRL activities for purposes of company reputation

building, at the same time reflecting a valuing of the goodness of human spirit and ethical behavior at work and in personal life. The belief is that if a company is doing what is right, there is no need to bring others to it because the good works themselves will draw people in. As true as that might be, it is a belief sometimes most fully accepted by those already converted to the cause and can cause people to overlook the importance of communicating the meaning and implications of GRL (and not engaging in GRL) to people at every level, in every part of the organization, and in every region of operations. So as important as this belief may be, it is one that probably characterizes organizations more mature in their development of GRL and could be one that trips up progress in an organization earlier on their journey.

GLOBALLY RESPONSIBLE LEADERSHIP PRACTICES

Although mind-sets are important, the actions of leaders and organizations to create the direction, alignment, and commitment needed for global responsibility are more important. The practices we find to be helpful in addressing global responsibility can be grouped into the categories of practice in Table 12.2.

Top Management Support

The CEO is often the driver of responsibility efforts. This means that in the most sustainability-oriented companies, he or she plays a central and active role with the top management team in making CSR visible, raising awareness about global responsibility, and exhibiting personal commitment to this agenda. Some of the specific practices we see employed by those CEOs, chief operating officers, and other top leaders include introducing internal written and spoken communication channels to demonstrate their commitment and raise employee awareness, providing special or targeted resources (money, staff time, and expertise) to projects that create social good either locally or nationwide, and creating or approving a formal CSR position or group to spearhead or consolidate work in this area and to keep a strong focus on these goals. The creation of this position is often seen as a mark of the organization's commitment toward sustainability and as an indicator of the seriousness with which CSR is being pursued. In these cases, the position itself, as well as the person occupying it, is seen as a key driver of sustainability efforts. And finally, top management support is also shown through articulating a vision for what the globally responsible

Table 12.2
Globally Responsible Leadership Practices

Leadership Practices	Examples
Top management support	Adequate resourcing of CSR work Creation of dedicated positions Maintaining continuous efforts during difficult times Participation in CSR events
Creating and aligning vision, strategies, and policies	Developing an overall CSR vision Screening for CSR in investments, acquisitions, and partnerships Setting CSR goals on every level Linking CSR to the business's strategic plan
Operationalizing CSR	Integrating CSR with everyday processes Specifying CSR goals locally and application globally Translating materials into local languages
Accountability for performance	Implementing a performance development process encompassing clear and measurable sustainability criteria Doing CSR audits Seeking and providing timely feedback Setting goals, standards, and norms Creating a CSR reporting system Pursuing certifications (voluntary and required) Developing CSR-related rewards and recognition
Communicating CSR	Framing CSR as a business opportunity Sharing information about successes and challenges Raising awareness Translating CSR into local languages and across levels Encouraging two-way communication, up and down Using established principles to develop common language
Developing and empowering employees	Mentoring, coaching, training others Giving challenging assignments Promoting ownership of action and decisions at all levels Developing CSR projects for employee involvement

(*continued*)

Table 12.2
(*continued*)

Leadership Practices	Examples
Engaging across boundaries	Conducting CSR surveys with all stakeholders Encouraging two-way communication with stakeholders Making organizational efforts and goals publicly visible
Acting ethically	Walking the talk Avoiding greenwashing Leading by example Consistency of personal and professional behavior

organization will be, as well as strategies in support of that vision and policies that are aligned.

Creating and Aligning Vision, Strategies, and Policies

Although articulating a vision along with supporting strategy and policies is not always a first step in a firm's journey toward sustainability, these statements create a foundation from which communications can be consolidated and activities already under way can be seen as important and as having executive and organizational support. As such, developing vision, strategy, and policies in support of sustainability is a key element of success. Having a clear vision for sustainability (the why), developing a clear sustainability strategy (the how), and developing long-term sustainability goals (the what) that can be further specified in the shorter term goals of divisions and units paves the way for smooth operationalization of CSR.

In best practice companies, goals and strategies set from the top of the organization, particularly with regard to environmental action and employee relations, typically go beyond compliance or what is required by law. A few strategies, for example, addressing the bottom of the pyramid (Prahalad, 2004), enable both business opportunity and social good. Organizations often implement these strategies by small steps toward major goals, making efforts that are consistent and frequent. The alignment of vision, strategy, and policies in support of CSR plays out in practices such as investing in businesses or working with

suppliers that support a sustainability approach, using the balanced scorecard to chart and track sustainability goals, and building the sustainability approach based on the core strengths of the business and the demands they face from both internal and external stakeholders.

Policies that link vision and strategy to managers' and employees' day-to-day work include those in the areas of recruitment, staffing, acquisitions, incentives, performance development, communication, investing, purchasing, and partnering processes. For example, the global pharmaceutical company mentioned earlier has a sustainability statement that focuses on making medicine more affordable to address poorly met health needs through innovation, environmental and socially friendly operations, and a focus on people, planet, and profit. This statement illustrates the belief that socially responsible goals (making medicine affordable to address poorly met health needs) will be achieved through focus on a triple bottom line, and it is followed by a list of everyday practices to which this company is committed in service of their sustainability goals.

Operationalizing CSR

In operationalizing CSR, organizations incorporate sustainability principles into the day-to-day development and production of goods and services, the ways resources and waste are handled, stakeholder engagement, and the ways they think about and execute projects having to do with community, service, and corporate giving.

Practices that work to further integrate CSR into the business include specifying actions or setting specific direction at a local level (rather than dictating a detailed plan from headquarters), so that socially or environmentally sensitive business plans and policies make sense and have the greatest possible impact. It is critical to use processes for the discovery of stakeholder needs and to take those needs into account in planning and implementing CSR efforts and operations.

Another example of good operationalization is the integration of CSR-related goals with specific employee job roles and descriptions, that is, providing clear connection between abstract CSR vision and strategy and the job tasks of mid- and lower-level managers and other employees. These efforts enable employees at all levels of the organization to make sense of the organization's focus on sustainability as it applies to their own day-to-day work and to see the part they play in the organization's success.

Accountability for Performance

To make certain CSR efforts are continuous, we find the most successful tactic is to take a good deal of performance development and accountability action. In successful CSR organizations, goals, formal measures, audits, certifications, and reporting are in place and active at the organizational level. Business units are required to have clearly stated sustainable working procedures and standards incorporated in unit goals and based on high standards set by senior management. The balanced scorecard is a tool we often see used toward this end.

In addition to setting goals, units and unit managers are provided ample feedback with regard to their performance in implementing sustainable practices and business operations (practices and operations based on consideration of people, planet, and profit), and managers receive periodic reports on their own progress, as well as on company progress overall.

In many organizations, the attitude of performance development extends to stakeholders. In one company we worked with, managers are taught that relations with suppliers have to be respectful. That is, they are not expected to squeeze suppliers to get the best price, but rather are expected to develop suppliers specifically in terms of what it means to conduct socially responsible business.

Another example of accountability is an organization's formal reporting of its sustainability efforts. Many organizations develop annual reports and use the standards developed by organizations like the Global Reporting Initiative. These standards require that corporate responsibility reports address the materiality, transparency, reliability, context, and completeness of the information reported.

Communicating CSR

Communication is a major contributor to the success of efforts in all of the best practice organizations with which we have worked. The focus of CSR communication in these companies is both internal and external and is often both top down and bottom up. Processes are in place for frequent senior management communication about the importance of social responsibility, current related activities, and progress on CSR goals. Communication about global responsibility crosses all organizational levels and is incorporated into the regular orientation processes for new employees. And related to the fact that employee empowerment is valued and actively developed, employees are

seen as an important stakeholder group and are actively involved in developing sustainability in company operations. In order to facilitate understanding and two-way communication about critical GRL issues, most of these companies allocate resources to translate all CSR materials (communications, policies, and strategy) into the languages most appropriate for the regions where they operate.

The ways in which messages about CSR are framed and delivered is key to sustainability taking root within these organizations. CSR leaders tell us the recipe for good communication is threefold: (1) a positive and compelling delivery, (2) relating sustainability to the language of business, and (3) relating the message to employees' interest in meaningful work. Many managers view the way in which the message is delivered as critical and believe it is important to use vivid examples, emotion, and creativity to communicate.

Communications that motivate people to use responsible practices in their work appeal to the motivation to do the right thing and to feel good about their work. Managers in best practice companies emphasize the importance of avoiding the doom-and-gloom scenarios typical in many discussions of sustainability and to focus instead on the opportunities and positive outcomes that sustainability offers. Managers also see that global responsibility must be addressed using business language rather than sustainability language. For example, reducing waste in all phases of the business is not just earth friendly; it reduces costs and provides support for job retention, especially in tough economic times. Finally, all the organizations we see as successful use multiple channels of communication, such as Webinars, newsletters, and company meetings, to carry these messages.

Senior managers in these organizations take a visible stand by making speeches and conference presentations on what the company is doing and the importance of global responsibility to solve major issues such as climate change, global health problems, and poverty. In addition, stakeholder dialogue is an ongoing process, involving key community leaders in areas where the companies have operations, NGOs having agendas related to company operations, and representatives of government and industry regulatory groups and suppliers. The content of these dialogues often focuses on the needs and expectations of various stakeholder groups, how these can best be met in partnership with business, and increasing awareness of the organization's current efforts, as well as its longer-term CSR vision. The key is that the discussions contain a give-and-take between the organization and the stakeholders.

Overall, the focus is on continuous communication between organization and stakeholder groups that encourages both sharing of information and dialogue about implementation challenges.

Developing and Empowering Employees

Employee empowerment is either an explicitly stated core value or implicit in the culture, systems, and leadership practices of best practice GR organizations. In both cases, it is a value that is put into practice in decision making at the local level and within teams, as well as in the idea generation necessary for facing many of the challenges to implementing GRL. At one organization we studied, empowerment is one of five core values and is understood to mean that the company is committed to the full involvement of its employees in their daily work, motivating, inspiring, and generating energy. Employees are expected to participate with knowledge, ideas, and opportunities, and the company is committed to the idea that attention will be given to their contribution.

Empowerment is also an active focus for employee development in these organizations. In best practice companies, mentoring, coaching, and training activities contribute to the responsibility efforts by providing not only the basic understanding necessary for empowered decision making, but also technical training for specific areas of operation and help and advice when obstacles are encountered or energy for the work begins to fade. Concepts of sustainability or responsibility are included in the onboarding processes, as well as in regular management development training. In addition to the formal and informal development on sustainability, employees are asked to contribute ideas for sustainability or CSR projects and processes and are allowed the authority to make decisions with respect to how to (not whether to) implement sustainability policies into their regular work.

Special projects and the role they play in employee empowerment and development, as well as building GRL commitment, deserve special mention. Organizations often have specific projects or efforts in support of responsibility, such as providing free chemotherapy drugs to the poor in India, free express mail shipping to families of members of the armed forces serving in war zones, or nutrition products where hunger is a major social issue. Certainly these efforts are commendable and exhibit strong socially responsible leadership practices, but there is more to the stories than meets the eye. More than the practical outcomes of these projects often achieved, we have seen that

these externally oriented projects also have long-lasting benefits for employees. In almost every case, the project work empowered and inspired employees at the individual level, as well as enhancing organizational reputation and community presence at the organizational level. These special projects infuse the organization with energy and inspiration, provide individual development, and encourage ongoing collective commitment toward CSR companywide. They also often provide a context for engaging across boundaries, internally as well as externally.

Engaging Across Boundaries

As the concept of sustainability requires an organization to focus on impacts beyond the traditional walls of the organization, we find that the practice of engaging across a variety of boundaries is important in many ways. External to the organization, engagement includes partnerships and regular meaningful involvement with a variety of external stakeholders: NGOs focused on issues relevant to the industry or business the company is in, local and national government bodies, community agencies doing work on which the company depends (for example, local schools and colleges), and the media, to name a few. Many effective globally responsible companies are active participants in networks focused on social and environmental responsibility, such as the Globally Responsible Leadership Initiative (GRLI) or the United Nations Global Compact. These networks provide organizations with potential partnership opportunities, opportunities to engage in or fund research to further their CSR goals, and a group of like-minded colleagues with whom to problem-solve and from whom to learn. Internally, engagement across boundaries often takes the form of teamwork on special social or environmental projects or cross-functional collaboration on work related to CSR innovation.

Acting Ethically

The final area of leadership practice is supporting ethical action in an organization. This set of practices is often understood by organizational members as a display of authenticity—seeing individual and organizational behavior that is in line with the company's GRL vision, values, strategy, and stated goals. Many leaders in these organizations exhibit responsibility behaviors at work and at home (for example, recycling and doing more with less) and are seen at work as being consistent in their words, decisions, and deeds.

As an organizational practice, supporting ethical action can take the form of using participative processes for decision making. While not necessarily ethical in themselves, participative processes are a tangible demonstration of valuing employee empowerment. The process also provides access to the widest set of views, particularly important when operating far from a company's home base. In addition to participative processes, in some of these companies there is an explicitly stated triple-bottom-line criterion to which employees and managers can refer in making almost any operational decision. This works to ensure that the principles of GRL are kept front and center so as best to support ethical, globally responsible decisions when priorities may become unclear or a situation is complex.

Finally, the organizations most effective at CSR demonstrate their ethics by engaging in full transparency in reporting not only their financial status, but the status of progress on their environmental and social goals. Most organizations state they avoid greenwashing, that is, saying that they will do something sustainable but not following up with the corresponding actions, or making it appear that they are doing more good than they actually are.

TOOLS, TECHNIQUES, AND METHODOLOGIES FOR DEVELOPING GLOBALLY RESPONSIBLE LEADERSHIP

Given that the move to develop a globally responsible organization is first and foremost a cultural change, we address a variety of tools and techniques for developing globally responsible leadership at the collective level. If organizations have a definitive lever for change toward global responsibility, they are developing the leadership collective in support of these ideals. A focus on developing the leadership collective ensures that the appropriate direction, alignment, and commitment toward global responsibility is in place. Our work with companies moving in a direction of increased global responsibility has highlighted the usefulness of CCL's assessment, challenge, and support framework (ACS) at the organizational level. Just as individuals need all three elements of the model for a powerful developmental experience, the same can be said for organizations. To support CCL's idea that attention to both the development of leadership collectives and individual leaders is critical, we address both in the following section.

Assessing Organizations for GRL

As introduced in the Introduction to this handbook, the ACS model is a framework for understanding how developmental experiences lead to individual learning and transformation. We see value in considering its application at an organizational level. An organization needs to assess many factors to understand how its familiar leadership beliefs or practices are hindering or helping global responsibility take hold within the culture and with individual leaders. In order to develop a collective culture that is supportive of GRL, we believe it is important to assess the following:

- The collective beliefs or mind-sets supporting or hindering global responsibility
- The extent to which organizational members see GRL practices in place across the organization
- Views of the organization's internal and external stakeholders on the organization's GR performance and GRL practices
- The degree to which GR is integrated with the organization's business strategy and leadership development strategy
- The degree to which GR is integrated with the organization's vision, values, and mission
- The organization's local and global social, environmental, and economic impacts
- The extent to which organizational members understand how local and global factors such as religious and moral traditions, cultural values, and differing market and legal structures influence GR business operations

Various organizational assessments are available for understanding a company's GRL culture (Quinn and D'Amato, 2009) or assessing at what stage a company may be in with regard to its corporate citizenship or sustainability orientation (Mirvis and Googins, 2006). These can be administered to both managers and employees, as well as to entities external to the organization, such as suppliers, customers, or other important stakeholder groups. Assessment of some of the other aspects suggested is not yet at the same level of availability, so organizations must be creative about how best to gather these kinds of information on their own or through the services of others versed in these aspects and

skilled in assessment techniques. This is certainly an area where further research and tool development is of the highest priority.

When GR leadership development focuses on changing the beliefs and practices that comprise organizational culture, the development work necessarily involves both collective beliefs and practices around GRL and individual beliefs and practices. Whenever culture change work is done, individuals are challenged and must be supported toward personal change as well. So to some extent, the collective-level culture change work will provoke individual development of GRL. In working to develop individual GR leaders, we believe it is important to focus on several aspects, including leader beliefs and assumptions, leader competencies (things leaders are capable of, or their skills, and leader practices, or the things they do). But individuals can also be the focus of simultaneous assessment, challenge, and support. Some research (Hind, Wilson, and Lenssen, 2009) has produced lists of competencies for CSR (for example, respecting diversity, continuous learning, global awareness) that have been or can be adapted or developed into formal assessments for individuals. In line with the practices described in this chapter, we suggest that individual work include assessment of the following attitudes and actions individual leaders take to facilitate the execution of a GRL strategy:

- Personal beliefs and attitudes supporting or hindering global responsibility
- Individuals' practices related to global responsibility:
  - Respecting diversity
  - Continuous learning; learning from mistakes
  - Seeking to understand the global, social, environmental, and financial impacts of work
  - Questioning business as usual
  - Taking a strategic view (long term, big picture)
  - Dealing with conflicting priorities and perspectives
  - Understanding the elements of global leadership

Our own work has focused more on beliefs and practices at the organizational level than at the individual level. We, as others, are only at the beginning of an extensive agenda of work to be done to provide organizations with assessment tools and techniques to facilitate GRL by organizations and by individuals.

Challenging the Organization to Develop Globally Responsible Leadership

Clearly the many challenges companies face play a role in the development of globally responsible leadership. Having to overcome obstacles on the way to more globally responsible business operations helps an organization learn what are best practices and good process for creating and maintaining a culture supportive of GRL. Just as with individual development, events can challenge organizations to reexamine well-worn practices and beliefs and catalyze organizational action. Challenge in the form of punctuated events, such as environmental accidents or ethical breaches, and obstacles to change, such as commitment that varies across the organization or over time, highlights weaknesses and areas of knowledge and skill deficit; it also points out the need for innovation and change. As we know, not all challenge is planned; it sometimes just happens and does not necessarily result in development. When it comes to developing globally responsible leadership and strategically using challenge to further the organization's globally responsible leadership capabilities, we suggest the following to help develop the organizational capabilities needed to support GRL:

- Inclusion of GR in recruitment and selection processes
- Inclusion of GR in education systems (onboarding, employee training, and development programs)
- Development of GR goals and objectives; integrated with organizational scorecard; integrated with individual roles and responsibilities
- Inclusion of GR in performance and evaluation processes (employee and operational)
- Development of GR decision criteria
- Development of special projects and assignments related to GR (linked with organizational goals)
- Pursuit of external GR certifications (ISO, LEED, AA1000, and others)

We believe each of these activities will serve to advance an organization's GRL strategy while pushing the organization out of its comfort zone of accepted processes and practices. Inclusion of GR in recruitment practices will not only change the types of people who are brought into the organization but will also give HR and managers a keener sense of what it means to be a good or high-potential employee in a GRL culture. Including GR principles in education

systems will mean that those designing and doing the training will need to fully grasp the implications of GRL for the organization, as well as providing needed information and a baseline for understanding to employees. Inclusion of GR in group and individual objective setting and performance evaluation will challenge and motivate groups, business lines, managers, and individuals to make sense of GRL in the context of their own work and to take seriously the need to achieve these goals. The development of GR decision criteria will help the organization, and particularly the management team, to agree on what it will look like to balance people, planet, and profits in their particular contexts. The development of special projects focused on local or global social and environmental needs will give those involved a renewed sense of meaning in their work and pride in their organization, as well as giving the organization new credibility and valuable experience in the GRL domain. And finally, the pursuit of GRL certifications will cause the organization to stretch to meet high standards, particularly of environmental responsibility; stimulate innovation in systems and processes; and teach valuable lessons in how to think differently about the purpose and structure of their business.

Individual development can be the result of experiencing and adapting to organizational culture change, and it can also be an independent focus. Individuals can be challenged to develop their beliefs and leadership practices through some of the following:

- Participation in volunteer programs or special projects addressing GR issues
- Formal education on GR (workshops, formal degrees)
- Self-learning on the topic (reading, attending presentations)
- Inclusion of GR goals on personal development plans within an accountability process
- Travel or work in the developing world

Each of these activities not only challenges an individual with new ideas and an added knowledge base, but also provides a basis for changing beliefs about the role of business in society, what is possible when an organization's resources are put to this important task, or what he or she can do personally to have a positive impact. In addition, some of the experiences (for example, travel or working in a developing country) can challenge an individual's sense of what it means

for the organization to have operations in these areas, what the relationship is or should be between businesses headquartered in wealthier parts of the world with operations in less advantaged areas, a wider sense of the organization's stakeholders, and what role they personally might play in changing individual behaviors or organizational practices so as to create more and more balanced value for all stakeholders.

Supporting the Journey to Globally Responsible Leadership

At the organizational level, support comes first from the top in the form of top management team motivation to develop and shape a leadership culture (nurture collective beliefs and leadership practices) that can integrate social and environmental responsibility into everything the organization does. Once these beliefs and practices begin to take hold, they become the supports and driving forces for direction, alignment, and commitment to globally responsible leadership going forward. In developing GRL in organizations, we believe the following sources of support are also important and valuable:

- Continuous measurement and reporting on GR goals and objectives
- Frequent and thorough communication about the organization's GR goals and performance
- Reward and recognition of GR actions and accomplishments
- Continuous input from a variety of stakeholders

Continuous measurement and reporting can of course be a source of challenge, but it can also work to support a sense of accomplishment across the organization and pride in the changes that have been made. Building collective confidence that GRL goals can be achieved is an important way to maintain commitment when obstacles do arise and goals seem threatened. Frequent and thorough communication also serves to support the maintenance of employee and management commitment, as it signals ongoing and strong commitment within the organizational culture and by senior leaders. Reward and recognition for socially responsible actions and decisions at a team, unit, or regional level also work to support the development of GRL in that they show that organizational commitment is real and gives groups a sense of greater confidence in the kinds of goals and actions needed for success.

For individuals, the following activities provide support for the development of GR leadership practice:

- Enrolling a GR expert as a coach or mentor
- Attending GR-related conferences and other events
- Individual participation in GR networks or clubs (for example, the Globally Responsible Leadership Initiative or Business for Social Responsibility)

We often think of coaching and mentoring as mainly providing support, and having access to the advice of an expert in GR practice can certainly provide that. We should mention here as well that a good coach also provides a degree of challenge to individuals—in this case, challenge to their sense of what is acceptable or feasible in striving toward GRL goals. Often people can benefit from someone who asks, "Why not?" as a way to catalyze more creative thinking and tangible innovation. Participation in conferences and in networks related to GRL provides support in the form of increased access to experts, as well as to other practicing managers who have experience and interest in the area, for ideas about practices one may not have tried and confidence that goals can be reached.

NEXT STEPS: IMPLICATIONS FOR THE FUTURE

Empirical research focused on what is required of globally responsible leaders and organizations is still in its infancy, and we are just beginning to uncover what is special about developing globally responsible leadership. We believe the ACS and DAC frameworks will prove useful, in that we see clear evidence that the leadership cultures in responsible organizations are profoundly different from cultures in organizations that are not concerned with issues beyond profit.

But to move forward with these frameworks, we need to be better able to assess the extent to which companies have achieved direction, alignment, and commitment around global responsibility, not just within the organization but outside as well. Interactions with external stakeholders—governments, supply chains, and customers—need to be investigated. It would also be helpful to understand which leadership beliefs characterize organizations in differing stages of global responsibility (stages include elementary, engaged, innovative, integrated, and transforming; see Mirvis and Googins, 2006); how direction, alignment, and

commitment to GR are best achieved; what leadership practices are most important to develop in moving from one stage to the next; and how those can best be developed. We also need to develop good assessments of beliefs and leadership practices—those aspects that are critical in leadership cultures supportive of global responsibility.

Once we have these tools, we can engage in additional scientific research to determine just which practices and beliefs lead to DAC outcomes at various stages of organization development, under particular conditions, in specific industries, or over time.

CONCLUSION

Being a best-in-the-world organization is not enough in today's environment; in order to replace this worn-out mantra, global citizens and stakeholders are now demanding that organizations instead be the best *for* the world. Many firms, as well as leaders, are now repurposing themselves as globally responsible operators in the worldwide economy. Our involvement in this movement has focused on the leaders and leadership necessary to support this new paradigm. We know that leadership plays a significant role in how an organization comes to be globally responsible, and yet the connection between leadership and global responsibility is barely understood.

The Center for Creative Leadership is addressing this gap, and much of what we have learned is shared in this chapter. A major conclusion for us is that leadership for global responsibility is different, and therefore the development of globally responsible leaders and globally responsible leadership is critical. Developing leadership for global responsibility goes far beyond simply setting direction toward global responsibility with a provocative vision and the corresponding mission and goals; it must also include the actions to create alignment and maintain commitment to the efforts, such as alignment of resources, development of supporting policies, implementation of globally responsible decision-making criteria, setting personal examples, stakeholder engagement, and development of a globally responsible mind-set. The great thing is that there are also unintended benefits of pursuing globally responsible efforts: an increased sense of meaning, purpose, and energy instilled into the organization. In today's environment, this is not easy to come by.

Our world is at a crossroads at many junctions, and one of them is leadership and how to run an organization that makes the world a better place for all. There is now a path for organizations to follow to do so: globally responsible leadership. And while this path will have continuous and new challenges, facing such adaptive challenges is what leadership is all about and, indeed, will be one of the greatest opportunities of this century.

chapter THIRTEEN

Developing Intergroup Leadership

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The theme weaving all the chapters in Part Two is that new models of leadership and leadership development are required to address increasingly complex organizational challenges. In this chapter, we examine the challenges and opportunities of leadership across intergroup boundaries. Traditionally leadership research and practice have focused on leadership within groups in which members are bound by a common culture, shared set of tasks, and overlapping values. In today's interconnected and diverse world, however, leadership increasingly takes place (that is, direction, alignment, and commitment must be produced) between and across groups that have interdependent work. Intergroup boundaries are marked by distinct and often competing or conflicting differences in histories, experiences, values, and cultures. Our focus here is on collectives identified as groups based on social identity differences (see Chapter Five), such as gender, religion, race, generation, culture, or ideology, or based on organizational differences, such as function, level,

region, or professional affiliation. Organizations have become the central meeting places where groups that see themselves as having different characteristics and priorities, and that in many cases have historically remained apart, are now being brought together. When organizations, collectives, and individuals develop collaborative, intergroup leadership capabilities to bridge these differences, constructive and creative opportunities can be realized. The question we address is: How can intergroup leadership development enhance direction, alignment, and commitment between competing or conflicting groups to achieve a broader vision or goal?

To respond to the question, we have undertaken a program of research titled Leadership Across Differences. In collaboration with an international network of researchers, funders, and partnering organizations, this effort transpired across twelve countries on five continents, resulting in a database that includes over twenty-eight hundred survey responses and 239 interviews with employees in a variety of corporate and nonprofit organizations. As a result of this research, we can describe the trends that underpin the changing leadership landscape, the challenges and opportunities that emerge when divergent groups are brought into contact in the workplace, the leadership beliefs and practices used to navigate these challenges and opportunities, and how to develop intergroup leadership capabilities within organizations, collectives, and individuals. These topics are the focus of this chapter.

Because intergroup leadership represents an emerging area of inquiry (Chrobot-Mason, Ruderman, Weber, Ohlott, and Dalton, 2008; Ernst and Yip, 2009; Pittinsky and Simon, 2007), we use an analogy from geology extending the work of Lau and Murnighan (1998, 2005) to introduce the chapter's key concepts. The *shifting leadership landscape* is defined as the set of societal trends that are bringing divergent groups into intensified contact in organizations. Like giant tectonic plates moving along the earth's surface, increased friction or energy is produced as these groups collide and intersect in the workplace.

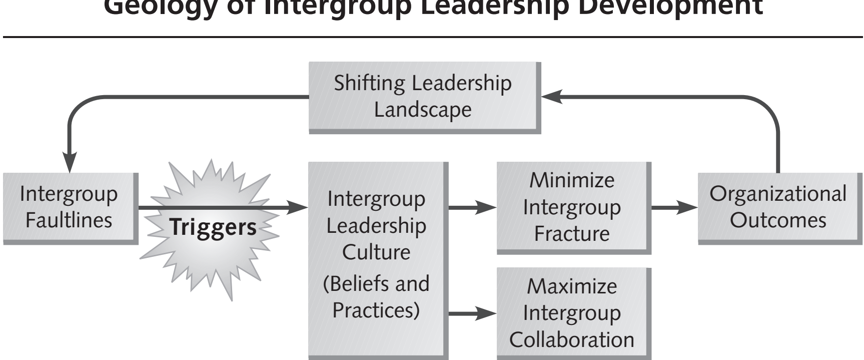
Intergroup fault lines are hidden psychological lines that mark the edges between groups. Due to several powerful psychological forces described in this chapter, fault lines are always present in organizations and yet may go unnoticed without

the presence of an activating force. We use the term *trigger* to identify the force that activates a fault between groups. To address this organizational challenge, we then introduce three types of leadership cultures and the leadership beliefs and practices that constitute these cultures. Leaders and organizations can create and draw on these beliefs and practices in order to maximize intergroup collaboration, or increased cross-group direction, alignment, and commitment (DAC), and minimize intergroup fracture, or decreased cross-group DAC. Finally, intergroup collaboration or fracture can generate positive or negative organizational outcomes, respectively, such as increased innovation or decreased productivity. Organizational outcomes have an impact on the broader leadership landscape as indicated by the feedback loop in Figure 13.1. In the next section, we describe the societal trends that are the foundation of the shifting leadership landscape.

THE SHIFTING LEADERSHIP LANDSCAPE

A leader of a multinational corporation in Asia is pressed to create a shared vision, not only across two different organizational cultures but also between divided national groups following an organizational merger. In Jerusalem, Israeli and Palestinian staff transform their differences in order to meet the needs of a multifaith community. In Europe, a nonprofit organization attains shared commitment across functional and volunteer groups to solve a pressing community challenge. In a manufacturing facility in the United States, line managers create common ground so that Native Americans, African Americans, European Americans, and Hispanics can work productively together.

Figure 13.1
Geology of Intergroup Leadership Development



As these examples illustrate, leadership increasingly takes place between and across groups, requiring leaders, collectives, and organizations to create cross-group DAC in service of a broader vision or goal. We describe five interlocking trends that increase intergroup contact in the workplace, thereby altering the leadership landscape in organizations.

Accelerating Globalization

Consumer markets, organizational operations, and labor pools are global (Dalton, Ernst, Deal, and Leslie, 2002; Dalton and Ernst, 2004). An American sports apparel company, for instance, might obtain its fabric from China, design and market its clothing in the United States, have the clothing manufactured in Bangladesh, and sell the products through a chain of stores with worldwide locations. No activity is so permanently rooted that it cannot be shifted to another locale. If the political or economic climate becomes unfavorable in one country, operations can be moved to another. If activities like R&D, marketing, or customer service become too costly, they can be outsourced to another country. People, goods, information, and values are crossing national borders faster and more freely than ever before. As barriers are removed, borders are crossed, and people from diverse groups are brought into new types of contact, creating complex webs of relationships.

Advancing Technology

Rapid evolution in information and communication technologies has hastened the pace, increased the reach, and reduced the cost of many forms of communication. Exchanges that used to take days to complete can now occur in seconds through the use of the Internet, videoconferencing, mobile phones, and emerging technologies. Electronic and digital communication has overcome the constraints once imposed by time and geography. Interactions among people and groups spread across the world are now commonplace and often occur without a sense of the contexts in which the sender or receiver is embedded.

Changing Global Demographics

In recent years, the global labor force has been transformed, and more changes are expected. The International Labour Organization (2008) reported that in 2007, three billion people aged fifteen years and older were working, a 17 percent increase from a decade ago. Of the forty-five million jobs created between 2006 and 2007, 57 percent were in Asia, 21 percent in Africa, and another 10 percent in Latin America and the Caribbean. In sharp contrast, only 4 percent of the

worldwide creation of jobs in 2007 was located in developed economies. Along similar lines, revised U.S. Census Bureau projections indicate that minority groups will be the majority in 2042, just over a generation away. As these data illustrate, the near future will reflect a very different workforce from the recent past.

Shifting Societal Structures

Legal, economic, social, and political barriers that previously prevented nondominant groups from entering the labor pool and advancing are eroding in many parts of the world. In an increasing number of countries, legislation makes it illegal to discriminate against employees on the basis of demographic attributes. For instance, changing social and cultural norms, coupled with economic needs, have made it more acceptable for women to work in countries around the world. Women now hold 50 percent of the managerial positions in the United States (U.S. Census Bureau, 2005). Concurrently, cross-national institutions such as the European Union (EU) and the Association of Southeast Asian Nations, as well as cross-national agreements such as the North American Free Trade Agreement, are knitting national political and economic structures together in complex tapestries. Consider the EU, where people, goods, services, and capital move freely across the twenty-seven member states. A single currency now joins most of their economies, and citizens have more flexibility to choose the country in which to live, work, study, or retire.

Transforming Organizational Structures

Concurrent with the four trends above, organizations are embracing a variety of practices to abandon hierarchical and divisional structures for more decentralized and flexible ones. There are four subtrends worth mentioning. First, cross-cutting task forces, project teams, and self-managing groups are increasingly used to stimulate innovation. Second, geographically dispersed and virtual teams are created to capture the benefits of a 24/7 business cycle, as well as the knowledge and expertise that reside across the organization globally. Third, as the movement toward corporate social responsibility (CSR) and triple bottom line becomes mainstream (see Chapter Twelve), the dividing lines between diverse stakeholder groups—corporations, governments, nonprofits, civil society—are becoming more permeable. In some cases, the goals and values within an organization reflect a growing awareness about their impact on or contribution to society. Finally, organizations are merging, acquiring, partnering, and morphing in ways that would have been unimaginable a few years ago. The news includes stories of

how iconic American companies, like Anheuser-Busch, Lucent Technologies, and the IBM PC division, are being bought and acquired by companies and conglomerates located in Brazil, France, and China respectively. The transformation of organizations, as illustrated by the types of practices above, makes it increasingly difficult to locate the boundaries between organizations, the employees within them, and the broader communities in which they are embedded.

The net effect of these forces is that the frequency and intensity of interaction between different groups have dramatically increased. Similar to tectonic plates that move along the earth's surface, increased friction is produced as these groups collide and intersect. Leaders and organizations are challenged to create direction, alignment, and commitment in the midst of changing interactions among groups. This increased friction can lead to collaboration or fracture between groups. Groups with effective interactions are not immune to competition or conflict, but ultimately they are able to constructively manage the tension and create intergroup collaboration—increasing cross-group DAC. This in turn has a positive impact on organizational outcomes, such as improved problem-solving capability and innovation potential, as well as improved resiliency, flexibility, and adaptability to respond to dynamic marketplace needs. However, intergroup fracture (decreased cross-group DAC) can lead to negative outcomes, including stifled creativity and innovation processes; failed partnerships, alliances, and acquisitions; noncollaborative work groups, units, and teams; cultures of disengagement and distrust; and decreased organizational productivity.

In order to understand the obstacles to producing DAC in the face of these challenges, it is critical to understand what causes fracture, rather than collaboration, to occur between groups. In the next section, we introduce a concept in the literature known as fault lines and then describe the mechanisms that activate fault lines, thereby leading to conflicts between groups and fractures in the organization.

FAULT LINES: THE CRUX OF THE LEADERSHIP CHALLENGE

Management scholars Dora Lau and Keith Murnighan (1998) introduced the concept of fault lines to explain an important dynamic in intergroup relations. In a geological sense, fault lines are cracks in the earth formed by the movement of tectonic plates. Stress or pressure on the plates creates a fault, which may be active or dormant. Lau and Murnighan (1998, 2005) suggest that organizational fault lines in groups are analogous to geological faults in the earth's crust; they are

always present, they create various levels of friction as boundaries rub together, pull apart, grind, and collide; and yet they may go unnoticed without the presence of an external force.

Lau and Murnighan define fault lines as "hypothetical dividing lines that may split a group into subgroups based on one or more attributes" (1998, p. 328). A particularly strong fault line may occur when subgroups are different on a number of dimensions, such as function, gender, race, religion, or nationality, and have little or no overlap of members. For example, an organization with a sales group composed of white American males and a research and development group composed entirely of Indian females has a prominent fault line; the boundaries between groups are accentuated because there are multiple types of differences between them (gender, function, and nationality). When the pressure between groups becomes too great, the fault line becomes active, and the groups separate into "us" and "them." This fracturing process leads to a decrease in cross-group DAC, which leads to negative and ineffective work dynamics and outcomes.

To help leaders effectively navigate the contours of dividing lines in organizations, we conducted two studies as part of the broader Leadership Across Differences research program. (For an in-depth understanding of these studies, consult Chrobot-Mason, Ruderman, Weber, and Ernst, 2009.) A key research outcome was an understanding of events that trigger fault lines in organizations. A triggering event activates a fault line between groups, transforming it from dormant to active. Triggers make the fault line relevant by introducing feelings of social identity–based threat into the workplace. Five types of triggering events—differential treatment, assimilation, insults or humiliating actions, different values, and simple contact—are described further in Table 13.1. Triggers allow competition or conflict between groups in society at large to spill over into the organization, placing organizational leaders on unstable and tenuous ground as they navigate these often deeply rooted tensions (Chrobot-Mason, Ruderman, Weber, Ohlott, and Dalton, 2008).

Conflicts between social identity groups, in particular, can be difficult to resolve because they cut to the core of who we are (Simon and Klandermans, 2001). As described in Chapter Five of this book, a fundamental aspect of human nature is our tendency to categorize and compare one another. Our instinct is to put people into groups that are "like me" and "not like me" (Tajfel, 1981). We favor groups to which we belong and develop a sense of esteem as a result

Table 13.1
A Typology of Fault Line Triggers

Trigger	Description	Example
Differential treatment	Occurs when one group perceives that another group has an advantage when it comes to the allocation of resources, rewards, opportunities, or punishments.	Men are given preference over women for key assignments.
Expectation of assimilation	Occurs when the majority group expects that others will act just like them; there is an expectation that nondominant groups will blend into the dominant culture.	Use of a language associated with a particular group and exclusionary of other groups.
Insults or humiliating acts	Occurs when a comment or behavior devalues or offends one group relative to another.	An offensive comment of someone from another identity group is made in the form of ''you people.''
Different values	Occurs when groups have decidedly different values; a clash of fundamental beliefs regarding what is wrong and what is right.	A group of employees is unable to accept a job-related assignment based on religious beliefs.
Simple contact	Occurs when anxiety and tension between groups are high in the broader society; simple contact between these groups triggers a fault line.	A terrorist attack occurs, resulting in high anxiety and distrust between national groups that must work together.

of being part of that group. Groups that we are not a part of are seen more negatively, even as threatening, because they can raise questions about the value and distinctiveness of self.

The five types of triggers we describe activate fault lines between groups, creating an organizational challenge. In every case, the trigger makes group membership salient and causes the organization to split along the fault line. The organization cannot operate as a whole because it has a dividing line running through it.

Differential Treatment

Differential treatment triggers occur when one group perceives that another group has more advantages, such as more days off, higher pay, more promotions, more opportunities for overtime, or fewer disadvantages, such as reduced likelihood of being punished for transgressions. Relationships between groups can easily become tense when one group feels that it is not treated fairly. A group may want to know why they are not worthy of the same treatment (such as better pay or benefits) as others. In our research, there were perceptions of supervisors who were offering promotions or valuable assignments to those who were like them. Depending on perspective, the treatment was seen as loyalty or as favoritism. For example, our research included nonprofit organizations in Spain, Jordan, Singapore, and the United States that were founded by religious groups. These organizations favored having managers with the same religion as the founders. The justification was that it was helpful for fund-raising. However, others in the organization did not see it the same way, raising issues about doing the work "right" versus being of the "right" kind.

Expectation of Assimilation

Pressures for assimilation to the dominant group also act as triggers. Dominant groups often have the expectation that nondominant groups will assimilate, become like the dominant culture, and, most important, not threaten their status as the dominant group or upset the status quo. Even when they seem to embrace difference, dominant group members can generate subtle expectations that they want the nondominant group to behave like them. This expectation came up with regard to a variety of dimensions that signify one's culture, such as language, music, food, celebrations, hygiene practices, and art.

When stories were told from the dominant group perspective, research participants described the nondominant group as not behaving appropriately. When assimilation stories were told from the nondominant group perspective, they described not being allowed to engage in what was a normal practice for them. Language was a frequent source of tension. For instance, people do not like being left out of a conversation, and language can symbolize a lack of desire to be open or collaborative with another group. Thus, language can be a symbol of oppression and a lack of access to resources and power. In one South African organization, the use of the Afrikaans language was a powerful trigger. Although English was the official organizational language, an employee sent an e-mail in

Afrikaans to an entire department. This resulted in a cascade of e-mails about the appropriateness of using Afrikaans, a strong symbol of past oppression in a newly democratic country.

Holiday observances were problematic as well. Dominant groups resented accommodations for nondominant groups' religious observances, and nondominant groups resented having holiday celebrations and days off around a calendar that excluded their days of significance. There is no shortage of topics that can activate assimilation-based triggers. People are naturally motivated to maintain their own cultural perspectives and customs and are ill at ease when those perspectives are threatened (Hornsey and Hogg, 2000).

Insults or Humiliating Acts

Insults or humiliating acts are probably a familiar category. In the context of intergroup fault lines, comments or behaviors that devalue one group relative to another create pressure and tension between groups, particularly if the comments or behaviors refer to group stereotypes. Threat is implicit. Individuals are denigrated because of who they are or are assumed to be based on their identity group. An offensive comment, insult, slur, or humiliation of someone from another group can make identity salient and raise the specter of being negatively and unfairly judged on the basis of stereotypes rather than on actual behaviors, skills, or beliefs. Insults and offensive actions were present in every country included in the study. Many of the insults took the form of something like "you people," followed by a negative association. Often ethnic or racial insults took the form of a joke. Humor is in the eye of the beholder, and the negative impact of jokes or negative comments can quickly send ripples throughout an organization, activating a fault line.

Different Values

Different values triggers occur when people express different, and often conflicting, beliefs, values, or ideologies. The values may be of a religious, moral, ideological, or political nature. One subgroup may be threatened by the values of another group and refuse to work with them. In our research, we saw differing values about a variety of topics, including abortion, homosexuality, marriage, and the primacy of family over work getting in the way of organizational alignment. In multiple countries, workers of one group refused to work with members of another group because they felt it inauthentic to work with someone who

represented a value stance they could not tolerate. For example, in one U.S. social services organization, whether a particular social worker was within his rights to refuse to accompany a client to an abortion caused conflict. In a Spanish nonprofit organization, an issue was raised about the willingness to serve clients who believed in polygamy. In both cases, a trigger raised the issue of whether it was fair to decline a job-related responsibility based on religious belief. In a U.S. multinational, an individual, because of her faith, refused to work on a team with a gay colleague. This conflict polarized the team, with different managers taking sides. The organizational issues became intertwined with different belief systems, and the team could not focus on the organizational issues. Eventually both parties wanted to leave the organization because they could not tolerate the environment.

Simple Contact

The final type of trigger has to do with simple contact (see Table 13.1). In situations where societal tensions between groups are extremely high, the mere presence of "the other" in the organization can act as a trigger. Fortunately, the incidence of triggers based on simple contact was rare. We saw simple contact as a trigger in Israel and South Africa, typically after an identity-related event in the country indicated a high level of threat in society at large. It is hard to be productive at work if you must deal with someone you do not trust and would prefer to avoid. When societal tension is low or moderate, simple contact is probably not enough to activate a fault line. However, when there is a highly publicized and emotional event in the society at large, such as a violent act, major lawsuit, or group protest, societal tension can spill over into the workplace.

How can DAC be maintained in the context of these triggers and fault lines? What is a leader to do when a trigger reveals the dividing lines in organizations? How do collectives respond when fault lines that underscore their differences crack open? What is the role of leaders or organizations in seeking common ground or preventing the fracture from occurring in the first place? A survey of 2,803 employees in nine countries (Gentry, Hannum, and Weber, in press) shows that employees expect organizational leaders to do something in response to triggering events. Similarly, Gratton, Voigt, and Erickson (2007) found that when fault lines emerge, the distinguishing factor between productive and unproductive teams has to do with leadership. In the next section, we look at three types of leadership cultures, and their corresponding beliefs and practices, which influence how organizational members navigate fault lines.

INTERGROUP LEADERSHIP CULTURES, BELIEFS, AND PRACTICES

Although there are significant constraints in preventing faults from cracking open between groups (similar to faults in the earth's surface), organizations, collectives, and individuals can take steps to reduce complex dividing lines. To do so, individuals and organizations must learn to discern the triggering potential for fault lines and effectively navigate intergroup relationships on behalf of organizational goals.

Our data illustrate three leadership cultures creating different contexts for managing cross-group relationships: the hands-off culture, where the organization is inactive in managing intergroup relations; the direct-and-control culture, where the organization actively monitors, reinforces, and directs intergroup relations to control fault lines and prevent triggers; and the cultivate-and-encourage culture, where the organization establishes the conditions and environment for healthy, creative, and collaborative cross-boundary relationships to develop (Ruderman, Glover, Chrobot-Mason, and Ernst, 2010). Although organizational responses to fault lines may be influenced by aspects of all three leadership cultures, our data suggest that most organizations adhere to a dominant culture that guides intergroup dynamics.

The three leadership cultures are made up of systems of beliefs about what constitutes DAC in the context of competing or conflicting groups, as well as resulting practices on how to produce DAC. In our research, we observed aspects of each culture across a wide variety of organizational contexts. Although we describe each leadership culture, we focus on the cultivate-and-encourage culture in this and subsequent sections. We adopt this approach in part because this leadership culture was more prevalent in the organizations participating in our research, as well as in the existing literature. The cultivate-and-encourage culture is also the most consistent with the leadership development perspectives and methods described in this book. It is the only one that fosters intergroup leadership, holding that organizations, collectives, and individuals should be systemically developed to enhance cross-group DAC.

The Hands-Off Leadership Culture

The hands-off leadership culture uses a passive, laissez-faire approach to intergroup relationships. In this context, the workplace is viewed as an inappropriate venue to address intergroup dynamics and beyond the responsibility of the organization or its members. The practice of people in leadership roles is to

remain hands-off with regard to facilitating group-to-group interactions. In fact, directly calling attention to intergroup fault lines is believed to have a potentially detrimental effect on the stability or viability of the organization.

Our data suggest that the most common leadership practice consistent with the hands-off culture is doing nothing. This practice occurs when individuals, collectives, or an organizational system does nothing to intervene following a triggering event or to prevent triggering events from happening in the first place. Several leadership beliefs guide this practice. One is the value of denying problems in intergroup relations: "If we don't see the problem, there is no problem." A related belief is that drawing attention to and naming a problem will only intensify the fracture. It is as if there is a sign in the organization saying "Danger: Do not go near a fault line." What may often be beneath this kind of denial is fear. Organizational members may be afraid to get involved or feel a sense of paralysis about taking action. A final belief is that time heals all wounds, and therefore divides between groups will eventually resolve themselves. While leaders are understandably hesitant to act out of concern for making things worse, our data demonstrate that leadership inaction can unwittingly catalyze intergroup fracture.

In sum, the intergroup hands-off leadership culture is a passive approach in which the organization is separated to the extent possible from societal intergroup dynamics. The leadership practice of doing nothing is how organizations attempt to maintain DAC in the context of competing or conflicting groups. Accordingly, intergroup leadership development is not an area of focus in this type of leadership culture.

The Direct-and-Control Leadership Culture

The direct-and-control leadership culture uses the mandate and authority of the organization to navigate intergroup interactions. The fundamental belief is that differences are a threat and intergroup DAC is produced when the organization establishes leadership practices that protect the organization and its employees from the negative consequences of intergroup interaction. The assumption is that the organization must be safeguarded against xenophobia—the dislike or fear of people who are different from oneself. People in leadership roles are encouraged to actively monitor and manage the boundaries between groups so as to reduce the likelihood of fault line triggers. The leadership practices of punishments, rewards, conflict management processes, and preventive strategies are consistent with the direct-and-control leadership culture.

Formal and informal punishments are used to influence behaviors between groups, holding employees accountable for acting in prescribed ways. For example, organizations can strictly adhere to policies stating that harassment or discrimination will not be tolerated and by enforcing penalties associated with such behavior. Although this is a common practice in the United States and South Africa, policies such as this are rarer in other countries. In the United States, for example, policies are often written in employee handbooks, posted on the company intranet, and included in orientation for new employees.

Rewards are another leadership practice used to reinforce desired behavior. An example is when organizational competency models include a behavior around "respect for all" and reward this behavior during the performance appraisal process. Bonuses can be linked to meeting organizational goals regarding inclusion and respect for individuals, though the term *respect* is rarely defined in concrete, behavioral terms (see Hannum and Glover, in press). A third practice is to use formal conflict management processes, often involving a series of steps to escalate grievances up the chain of command.

Active preventive strategies represent yet another leadership practice. One approach is to structurally separate noncollaborative or conflicting groups. A manufacturing company in Jordan, for example, separated ethnic groups by location and work schedules. The belief is that when the risk of intergroup fracture is too high, imposing structural boundaries can keep the organization stable. Related to this tactic is the implicit or explicit leadership practice of organizations asking employees to avoid displaying or celebrating aspects of their group identity. For example, in some French organizations, employees are asked not to wear symbols of religious identification. More subtle but more commonplace within the corporate setting is the organizational emphasis on professional competency. The underlying belief is that being competent in your work is what matters, not intergroup differences. "We are all professionals here" is a typical expression that illustrates this leadership practice.

Contrary to the hands-off culture (a passive, do-nothing approach), the direct-and-control culture involves organizations' taking active steps to monitor, reinforce, punish, and reward the desired behaviors, values, and norms. This type of leadership culture views intergroup dynamics primarily as a problem to be solved more than an opportunity for development. Only the third type of leadership culture, cultivate and encourage, adopts a belief about the potential value of interdependent and collaborative cross-group relationships.

The Cultivate-and-Encourage Leadership Culture

In this intergroup leadership culture, positive intergroup relationships are actively cultivated, supported, and developed. The overriding belief is that organizations, collectives, and individuals can create and enhance intergroup understanding that will enable DAC to achieve organizational goals. The role of informal and formal leadership practices throughout the organization is to create the conditions for positive contact to occur. Under these conditions, productive intergroup relationships will develop, which creates the energy and creativity needed for the organization to adapt to changes in a dynamic environment. Pittinsky (2005) refers to the encouragement of positive relationships between groups as *allophilia.*

Organizations with a cultivate-and-encourage leadership culture are not immune to the friction created by intergroup fault lines. Rather, they develop leadership practices to harness the energy of a fault line, transforming it where possible into constructive and creative opportunities. These organizations believe that problems will not be solved and new solutions developed if groups do not work collaboratively together. For example, tackling climate change requires conflicting stakeholder groups to cooperate, just as developing new breakthrough digital technology requires the full engagement of groups who vary in age, function, or culture.

We describe four intergroup leadership practices—suspending, reframing, nesting, and weaving—that reflect the cultivate-and-encourage leadership culture. Leaders and organizations can use these practices to bridge and span intergroup fault lines in service of a larger vision or goal. In using these practices to bridge fault lines, groups will be engaged in developing a culture that cultivates and encourages positive cross-group relations. In addition, each practice works to bring groups together across boundaries in order to maintain and enhance the direction, alignment, and commitment of the organization at large. (For an in-depth look of these and other intergroup, boundary-spanning leadership practices, see Ernst and Yip, 2009, and Ernst and Chrobot-Mason, in press.) We will return to these practices later in the chapter to offer specific developmental strategies and methods for using these practices with organizations, collectives, and individuals.

Boundary Suspending The practice of boundary suspending creates a neutral zone or safe space where interactions are individual based rather than group based. The psychological process of deemphasizing social categories and emphasizing

individuals is called *decategorization* (Brewer and Miller, 1984). Suspending practices allow leaders and organizations to create safe spaces where people can interact as unique individuals rather than members of distinct groups. Over time, members of one group begin to see members of another group as being more similar in needs, hopes, and values. The view of what constitutes "our group" expands to include people and groups who were previously considered outsiders.

Typical methods of suspending include structuring the physical environment with attractor spaces to invite serendipitous cross-boundary interaction, creating virtual workplace environments that allow diverse group members to share personal and professional hobbies and interests, and organizing intergroup events both during work and outside of daily work routines. Other examples of suspending include storytelling sessions where individuals share personal life events and lessons; "creativity labs" or "idea zones" where diverse teams can dialogue, problem-solve, and innovate; and off-site retreats designed to take advantage of the qualities of a neutral location.

Boundary Reframing The practice of reframing activates a common category or shared identity that is inclusive across competing or conflicting groups. The psychological process is known as *recategorization* because it attempts to unite people under a superordinate identity (Gaertner and Dovidio, 2000). Reframing increases the relevance and importance of belonging to the organization as a higher-level category. Whereas the goal of suspending is to break down boundaries, the goal of reframing is to create a new and larger boundary inclusive of all group members. In other words, suspending is about erasing the dividing lines between groups, while reframing is about redrawing the lines to include both groups.

As an example, consider the Chinese-based Lenovo's historic acquisition of the U.S.-based IBM PC operation in 2005. After the merger, the CEO, management team, and a newly created diversity and integration unit faced the complex challenge of leading at the intersection of distinct organizational and national cultures. Lenovo's leaders encouraged employees not to hang on to old legacies; for example, workers submitted examples of things that they did as part of IBM but did not want to continue doing in the new organization. Reframing efforts went beyond products and processes. Where before people were labeled as "legacy IBM," "legacy Lenovo," or "new hires," the company put in place new language that reinforced that the people of Lenovo were part of a "new world culture," not a Chinese, U.S., or Sino-American company. Although it is too early to assess

the success of the acquisition, early indicators suggest the organization managed to span and connect two distinct organizational and societal cultures in support of its vision of becoming an innovative, globally integrated computer company (Yip, Wong, and Ernst, 2008).

Corporate cross-group goals often focus on competitive dimensions such as winning market share, achieving financial targets, or being first to market with an innovative product or service. Educational, medical, or service organizations, however, may find reframing works better by calling on a shared professional identity. A professional calling, such as care for those in need or educating future leaders, can provide a binding identity that transcends intergroup differences. In the nonprofit sector, a compelling mission can create a powerful, built-in superordinate goal to bridge disparate groups.

Boundary Nesting The practice of nesting constructs interactions so groups have distinct roles that are embedded within a larger mission, goal, or objective. It draws on decades of psychological studies that demonstrate that humans have strong needs for both uniqueness and belonging (Hewstone and Brown, 1986). Common examples of intergroup nesting include affinity groups and communities of practice that seek to foster the development of a subgroup identity while keeping subgroups connected to a larger organizational identity. For example, IBM has created over 170 affinity groups worldwide (Thomas, 2004). Affinity groups such as these provide employees an opportunity to have voice as a unique group and to contribute to broader, organizational strategic goals.

Another example is a strategy planning process developed by CRY, an India-based NGO focusing on children's rights. In traditional strategic planning, the tendency is for the senior team to develop and then cascade a strategy down the chain of command. Each functional and geographical unit must then fit itself into its prescribed box. In contrast, CRY wanted to develop a process that recognizes and values regional identities, while concurrently developing an integrated long-term plan. Their solution was a process whereby statements of strategy were developed regionally first, and then regional groups worked collectively to create an integrated plan. The final version emerged after the groups collaborated to reconcile regional variations in support of an integrated, organizational strategy.

Nesting groups within larger wholes can help competing or conflicting groups meet their needs for both distinctiveness and belonging. Whereas suspending and reframing involve steps to draw attention away from what distinguishes groups,

nesting involves efforts toward drawing attention toward what makes groups different and how those differences contribute to organizational effectiveness. Like Russian stacking dolls, this practice helps ensure that groups retain their unique meaning and integrity, while also being nested or stacked within a larger organizational whole.

Boundary Weaving The practice of weaving crosses and intersects social and organizational groups so that they are less tightly coupled. Weaving interlaces groups across roles and levels in the organization, which creates opportunities for increased intergroup collaboration and creativity. It is grounded in the psychological process of cross-cutting groups (Brewer, 1995). Work teams, project groups, task forces, units, or functions can be composed so that intergroup fault lines are less prominent. For example, instead of a team where all the engineers are German and the marketing people are Dutch, a mixed team is created with engineers and marketing people from both countries.

In the United States, a variety of techniques are used to ensure greater representation and contact across levels and functions. These include actively hiring and promoting groups to particular job titles; using job rotation programs to broaden and ultimately increase representation of specified groups in an occupation; and cross-cutting mentoring, such as pairing a senior leader and an employee of different identity groups.

With the emergence of virtual and geographically dispersed teams, organizations strategically use weaving practices as a catalyst for intergroup collaboration, learning, and innovation. For instance, a growing number of technology companies create teams responsible for the development of technology solutions for a global marketplace with mixed functional, cultural, generational, and educational characteristics. A leadership belief, consistent with the cultivate-and-encourage culture, is that intergroup differences are not a challenge to address but rather the means to address a challenge. By weaving groups with organizational level and roles, organizations can unlock creativity within individuals and the organization as a whole.

Organizations with a cultivate-and-encourage leadership culture are not immune to the challenges of intergroup fault lines. To the contrary, actively working to bridge, span, and increase intergroup contact may increase the prevalence of intergroup friction and conflict. In a geographically dispersed team, for instance, intergroup conflict can easily occur when members of the sales

department in one region are more tightly interlaced with the manufacturing department located on the other side of the globe. Thus, the complex realities of intergroup leadership require a broader horizon concerning leadership development processes. This is the focus of the remainder of the chapter.

INTERGROUP LEADERSHIP DEVELOPMENT

Leadership development approaches typically focus on leadership within a defined group, assuming a traditional dynamic in which leaders and followers share a common culture and set of values. However, leadership must also be developed across divergent groups, characterized by competing or conflicting differences. While the need for intergroup leadership development is clear, *how* to develop intergroup leadership is not.

We seek to spark new thinking regarding intergroup leadership development. How do we develop intergroup leadership as a systemic capability enabling divergent groups to work collaboratively in the service of intractable problems? How do we develop the capabilities of divided groups to foster collective action that advances the common good? And finally, how do we develop intergroup leaders capable of spanning complex cultural, demographic, functional, ideological, and geographical boundaries?

Several tenets underlie our response to these questions. First, effective intergroup leadership is about maximizing collaboration (increased intergroup DAC) and minimizing fracture and discord (decreased intergroup DAC) between groups. Second, each of these questions is grounded in our ability to develop the cultivate-and-encourage leadership culture. Developing intergroup leadership means moving away from the hands-off and direct-and-control leadership cultures and toward this newer set of beliefs and practices. Third, to have lasting impact, intergroup leadership capabilities must be developed within individuals, collectives, and organizational systems.

Three levers can be used to develop intergroup leadership: methods for assessing and developing intergroup awareness, intergroup experiential learning, and cultivate-and-encourage leadership practices that can be used to influence culture change and to develop the collaborative leadership capabilities of organizations, groups, and individuals. Although we discuss each lever separately, organizations are encouraged to strategically align the levers with each other and with their broader organizational strategy.

Intergroup Awareness Methods

Intergroup fault lines are psychological lines that mark the edges between groups. They are always present in organizations (like faults in the earth are) and may go unnoticed until activated by a triggering event. In the same way that geologists require tools to monitor seismic activity, leaders and organizations need tools to monitor, understand, and diagnose intergroup relations. Intergroup awareness methods, such as mapping tools and case methodologies, help make invisible intergroup boundaries visible.

Mapping Tools One tool for increasing intergroup awareness is called *identity mapping* (see Hannum, 2007, for a complete description). The process involves listing and categorizing one's various group memberships, reflecting on what identities are most important personally, and connecting group membership to leadership roles. This process can yield important insights such as uncovering which identity attributes help leaders foster collaboration with other groups, and which attributes hinder or get in the way. When people develop more complete maps of themselves, they can become more open and inclusive toward the identities of others.

These maps can be discussed and shared with other participants in a developmental context with the goal of heightening intergroup sensitivity. Identity mapping enables individuals and collectives to develop a more complex understanding of intergroup similarities and differences that can positively bridge or negatively divide a fault line. As leaders increasingly find themselves stuck in between conflicting group values and perspectives, developing intergroup awareness is an increasingly vital aspect of the leadership role.

A second tool in developmental interventions, organizational boundary mapping, enables participants to diagnose intergroup boundaries within and across organizations (Yip, Ernst, and Campbell, 2009). The tool examines five types of intergroup boundaries: vertical (across levels and ranks), horizontal (across functions and units), stakeholder (across external groups), geographical (across regions, cultures, and distances), and demographic (across demographically diverse groups). Participants map how effective they are at interacting across these dimensions, note areas of strength and limitation, and gain insights on developmental methods to close the gaps. Depending on the learning objectives, the mapping activity can focus on individuals, collectives, or organizations. For example, in one intervention with a multinational electronics company,

high-potential leaders created a map of their effectiveness in leading across boundaries and worked with a coach to create a developmental goal to close that gap. In another intervention with the senior team of a manufacturing firm, each member constructed and shared a map to illustrate team-level strengths and gaps in crossing boundaries. Regardless of the focal target, the purpose remains to develop increased awareness regarding intergroup boundary dynamics within and across organizations.

Case Methodologies Another method for developing intergroup understanding is case methodologies. By using realistic cases of intergroup fault lines participants can discuss and learn from different perspectives (see Hannum, McFeeters, and Booysen, 2010, for case methodology resources). Focusing the conversation on events that did not directly involve participants helps create a safe environment in which to discuss difficult topics and articulate different perspectives as part of a learning process.

Through interviewing both dominant and nondominant leaders at multiple organizational levels, we observed that at higher organizational levels, leaders become less and less aware of potential triggering events lying just beneath the surface. This is in part due to the natural tendency for information to be filtered as it moves up the organizational hierarchy. However, another reason is that more often than not, leaders are representative of traditionally advantaged cultural, demographic, or organizational groups. In these instances, they lack critical awareness and knowledge of the inequities and challenges faced by groups with less privilege. So when a trigger occurs, leaders may be the last to know and to understand, in contrast to members of nondominant groups who are likely to have greater personal experience with the precarious nature of intergroup relationships. If efforts are made to transfer the learning from case studies, they can be a useful approach to aid leaders in more effectively detecting and understanding potential rifts that can divide groups within organizations.

Intergroup Experiential Learning

A central tenet of this book is that leadership is a process learned through experience. In this section, we extend this principle to include how intergroup leadership can be developed through cross-boundary learning experiences of simulations, action learning, and boundary-crossing experiences.

Intergroup Simulation Activities A variety of simulations and activities allow individuals and collectives to experience intergroup situations in a simulated environment. Typically arbitrary groups are created, such as group X and group Y or organization Alpha and organization Beta. The groups are asked to split resources, or to operate with different rules, or the value and worth of one group is somehow put into question. Intergroup divisions tend to surface quickly, and participants see how easily us-versus-them dynamics occur.

Intergroup simulations help develop awareness regarding the power of intergroup fault lines. If strong feelings can be created with artificial boundaries, it becomes clear how powerful these feelings can be when the differences are real and enduring. Furthermore, these types of activities provide people with a safe way to experiment with new behaviors. In our research, leaders often described themselves as being stuck in the middle or caught in between divided groups. Developing new behaviors in a simulated environment, such as learning to speak genuinely and respectfully, communicating with clear and concise messages, listening actively and empathetically, and creating synergies, will help leaders to more effectively create cross-group DAC back in the workplace.

Action Learning Action learning provides a method to take intergroup experiential learning out of a simulated environment and place it within a real-world work environment. Typically action learning interventions are team based, involve opportunities for learning by doing, and target key organizational issues and challenges. The teams often cut across layers and levels of social and organizational boundaries (similar to the practice of boundary weaving) and thus are ideally suited to developing intergroup leadership capabilities. We provide an example from a past Center for Creative Leadership (CCL) intervention with a large governmental agency and highlight several tactics to enhance the impact for intergroup development.

Due to changes in the economic and regulatory environment, the agency was required to undertake a sweeping change in how it approached its mission. Executives needed to develop new ways to work together across the agency to solve complex, organizational-level problems. To meet this objective, action learning was positioned as an integral aspect of a broader, multiphase intervention. Several guidelines were put in place to maximize the opportunity for intergroup experiential learning.

The first method involved efforts to ensure that each action learning team had individuals who came from diverse backgrounds and parts of the organization. Teams were mixed along a variety of demographic, cultural, functional, and regional dimensions. Although each member brought varied expertise to the team, no member brought exclusive expertise, insider knowledge, or formal management responsibility to the issue or project they were tasked to address. A second method was deliberate focus not just on the action of completing the project, but equally on the reflection regarding how the team collaborated across boundaries (outside, across, and around the formal organizational hierarchy). And third, to complete their specified project, team members were required to cross their own established networks, including their functions, regional locations, peer groups, and knowledge bases.

Interventions like this one provide opportunities for organizational members to engage across boundaries, shift from an internal to an external awareness of the environment, and lead from a more integrated understanding of the organization. These types of capabilities can be developed through the intergroup experience-based method of boundary-crossing experiences.

Boundary-Crossing Experiences As described in Chapter Four, career progression tracks in organizations have long focused on vertical development like career ladders and fast-track programs. In flatter, more decentralized organizations today, career progression should be extended to a wider variety of cross-boundary, cross-organizational developmental experiences. Table 13.2 illustrates the types of boundary-crossing assignments, tasks, and roles that can be systematically adopted within organizations.

Effective intergroup leadership requires continually expanding the horizons of leaders throughout the organization. Like the expression, "a bridge must be well anchored on either side" (Kegan, 1994), the types of experiences listed in Table 13.2 help organizational members not only to stand on their groups' side (for example, their function or culture), but also to cross over to experience other sides. As illustrated by the example of an expatriate assignment (a type of geographical crossing), these experiences teach valuable intergroup leadership lessons. First, they enable leaders to better see, understand, and hold as object their own group values and beliefs. When working as an expatriate, leaders have a unique opportunity to look back at their home culture from

Table 13.2
Boundary-Crossing Experiences

Type of Developmental Experience	Vertical Crossings	Horizontal Crossings	Stakeholder Crossings	Geographical Crossings	Demographic Crossings
Examples of assignments, tasks, or roles	First supervisory job Increased supervisory scope General management job	Job rotations or lateral move Special project: Cross-functional team	Manage partnership or joint venture Client work Stakeholder negotiations	International assignment Global virtual teamwork Expatriate assignment	Manage a diverse team Rural or emerging economy assignment

a distance and see both its inherent strengths and limitations. Second, boundary-crossing experiences create a mechanism for leaders to understand, appreciate, and in some cases internalize other groups' values and beliefs. Expatriate assignments put leaders in situations of extended contact with the unique values, norms, and practices of the host culture. With continued exposure, leaders develop increased feelings of familiarity and empathy toward a different set of cultural practices. Finally, boundary-crossing experiences enable leaders to build well-connected bridges that strengthen the collective whole. In successfully crossing over a geographical boundary and in developing an expanded set of perspectives and skills, returning expatriate leaders are likely to be more capable of linking ideas, resources, and people in service of broader organizational goals.

Intergroup Culture Development

Intergroup experiential learning, through simulations, action learning, and boundary-crossing experiences, develops new capabilities in organizations, collectives, and individuals to bridge intergroup differences. Organizations can extend the impact of these methods through a third lever, intergroup culture development.

Developing intergroup leadership requires organizations to shift from the hands-off and direct-and-control leadership cultures toward the cultivate-and-encourage leadership culture. Organizations can accelerate movement toward this culture by systematically incorporating the four intergroup leadership practices of boundary suspending, reframing, nesting, and weaving into the fabric of daily work routines within project groups, task forces, virtual teams, functional units, country offices, and other types of communities and collectives. The practices can be used by formal or informal leaders at all levels of the organization, members of the collective themselves, or HR or organization development professionals. We highlight several methods for developing each practice and offer strategies to implement the method effectively and avoid potential pitfalls.

The leadership practice of suspending creates a safe, neutral zone where interactions are person based rather than group based. There are many methods to foster cross-group interactions between members of different groups, such as organization-sponsored events, community projects, organizational virtual networking spaces, or informal meeting rooms or serendipity spaces. Although establishing such practices seems straightforward, this is not always the case. A potential challenge is that groups may feel threatened by or resist contact with

groups with which they share a history of division or mistrust. To limit this pitfall, the following strategies can be employed.

First, time and space should be provided for intergroup relationships to develop naturally. Interactions should be frequent and routine and conducted in an environment that is comfortable for all group members. Second, when practicing suspending, members of collectives are encouraged to exhibit active listening, speak with candor, and practice an open, learning orientation. Third, participation by individuals (especially in situations where feelings of threat or anxiety are high) should be strictly optional, without any organizational mandates or requirements. Developing productive and creative intergroup relationships is not a quick fix but rather a practice that must be cultivated and nurtured over time.

The practice of reframing involves the activation of a shared identity or goal that is inclusive to all groups. In this regard, reframing has much in common with visionary or charismatic leadership models. Unlike these models, which emphasize the qualities of the leader (persuasive, articulate, inspiring), boundary reframing focuses on the processes or methods for creating a commonly shared and inclusive identity across groups. There are a growing number of methods and technologies available, such as intergroup dialogue, open space technology, whole systems methodologies, future search, and world café, that can help develop shared identities within collectives (see Bunker and Alban, 2006, or Holman, Devane, and Cady, 2007, for more information about these resources).

To maximize the impact of these approaches, it is necessary to make explicit linkages between groups and larger, shared goals. Goals or identities that are relevant to and motivating for all groups should be prioritized and reiterated frequently. It is important to remember that the differences that can divide groups are charged with emotion and meaning, and they should not be minimized or ignored. Nor should group members be placed in situations that require them to abandon core aspects of their identity on behalf of the collective or organizational identity (such as in the case of the assimilation triggers described earlier).

The nesting practice embeds and affirms groups within a larger whole so that the groups have both distinct and interdependent identities. Earlier we described how affinity groups, communities of practice, or cross-boundary planning processes can be used to nest groups within a larger organizational goal. Other methods may include events to celebrate distinct traditions, holidays, and symbols of other groups or appreciative inquiry methods (Cooperrider and Whitney, 2005) that identify what is valued about divergent groups in relation

to a larger collective. Given the often territorial nature of organizational life, it can be a challenge for leaders or organizations to balance in-group cohesion with intergroup identification to a larger collective as a whole. The developmental strategies we describe next can help.

First, tasks should be structured interdependently so that group expertise is understood and valued. Second, a tiered approach in which group members engage in activities that affirm their identity first, and then bring different groups together to work toward a shared understanding can be helpful (Haslam and Ellemers, 2005). Third, organizational members should be encouraged to actively speak about both the unique perspectives brought by various groups and their contributions to larger organizational goals. These additional steps help ensure that smaller subgroups retain unique meaning and integrity while being nested within a larger collective or organizational whole.

Finally, the practice of weaving requires cross-cutting or interlacing work group roles with identity group membership in a systemic way. Methods to apply weaving within a collective may include job rotations; cross-organizational action learning projects, or task forces; the use of virtual or dispersed teams; and interventions designed to cross-cut boundaries, such as emerging-leader or high-potential programs.

Mixed cross-boundary teams can serve as a source and spark for creative and innovative solutions. However, there is also an increased potential for intergroup fault lines to crack open as various groups organize around shared demographic, cultural, or functional attributes. One strategy to limit this possibility is to take group composition into consideration when implementing weaving practices. Do these groups have a history of conflict or division? Do the individuals chosen for a cross-cutting role demonstrate an ability to work effectively across boundaries? A second strategy, related to the first, is to avoid force-fitting cross-group contact where inappropriate. If the intergroup context is too hot or if members of the collective lack readiness for cross-group contact, then weaving practices should be avoided. However, if readiness is apparent, cross-group collectives can serve as an effective means to enhance direction, alignment, and commitment while acting as a channel for organizational learning and innovation.

To conclude, the four practices for developing intergroup leadership are distinct yet have four properties in common. First, the practices target the same outcome: maximizing intergroup collaboration and minimizing intergroup fracture in service of larger organizational goals. Second, they share an overlapping

Figure 13.2
Intergroup Leadership Development Practices

	Suspend *Create a Safe Space*	**Reframe** *Activate a Common Purpose*	**Nest** *Embed Groups Within Larger Whole*	**Weave** *Cross-Cut Roles and Groups*
Definition	Create a neutral zone where social interaction is person based rather than group based	Activate a shared identity or common goal that is inclusive across groups	Embed and affirm groups within larger wholes so that groups have both distinct and interdependent identities	Cross-cut work group roles with identity group membership in a systematic way
Schematic				
Leadership Development Methods	• Organization-sponsored parties • After-work activities • Storytelling sessions • Create "creativity labs" or "idea zones" • Create informal internal meeting spaces or lounges • Organizational virtual networking spaces (e.g., Linked In, Facebook)	• Intergroup dialogue • Whole systems methodologies • Emphasis on the mission • World café • Events that focus on a third-party competitor • Community outreach initiatives that focus on higher societal value	• Affinity groups • Communities of practice • Cross-boundary strategy planning • Celebrate distinct traditions, holidays, and symbols across groups • Appreciative inquiry methods to identify what is valued and effective about divergent groups	• Job rotations • Cross-cutting mentoring • Cross-organization action learning • Cross-functional task forces • Virtual or dispersed teams • Linking roles
Developmental Strategies	• Do encourage people to get to know one another as individuals • Do encourage active listening, candor, and a learning orientation • Do give space and time; make interactions frequent and routine • Don't require individuals to participate if feelings of intergroup threat or anxiety are high	• Do make connections between groups and larger, shared goals • Do prioritize goals or identities that are motivating and inclusive to all groups • Do revisit and reiterate group goals often • Don't ask groups to give up core values • Don't seek to cloak constructive intergroup conflict within a larger goal	• Do give equal voice to all groups • Do emphasize that all groups contribute unique value toward a higher purpose • Do provide support for moderate levels of within-group cohesion to form • Don't create situations where group identities or tasks are not linked back to a larger organizational identity or goal	• Do consider identity group composition when planning new initiatives or teams • Do ensure individuals meet qualifications for cross-cutting assignments or roles • Do seek to unlock creative potential of cross-boundary teams • Don't force-fit cross-boundary contact where not appropriate

developmental mechanism: to alter the nature and composition of intergroup boundaries. By reducing, expanding, sharpening, or blending the differences that naturally exist among groups, these practices create a powerful means to develop new and innovative types of intergroup contact. Third, these practices will be more effective and sustainable to the extent that they are supported by organizational structure and policies. Organizational structure establishes the parameters within which intergroup interaction takes place, whereas policies specify the desired behaviors to guide cross-group relations. When work is structured properly and policies are consistent with desired behavior, opportunities for positive cross-group collaboration will expand. It is imperative that the organizational structures and policies make it possible for the practices to be enacted and sustained. And fourth, the intergroup leadership practices of suspending, reframing, nesting, and weaving are not separate from the work environment, but rather are an integral component of getting work done. These practices can be incorporated into the daily activities of functional units, project groups, task forces, or virtual teams.

In Figure 13.2 we provide a detailed summary of the four intergroup leadership practices. The figure provides a short definition of each practice; a visual schematic illustrating how each practice alters the nature of cross-group contact; a list of varied leadership development methods; and finally, a list of developmental strategies (do's and don'ts) to consider when incorporating the practices into the daily work of organizational collectives.

CONCLUSION

Ever-increasing connection among individuals, organizations, communities, and society as a whole is our common fate. We have discussed the shifting leadership landscape that brings competing or conflicting groups into intensified contact in organizations. As these groups collide and intersect, intergroup fault lines can be activated by triggers, dividing groups into "us" and "them," thereby decreasing the organization's ability to create shared direction, alignment, and commitment. Yet a distinctly different outcome is the potential for intergroup collaboration. This underscores the importance of developing intergroup leadership capabilities within organizations, groups, and individuals, enabling collaboration across boundaries in service of achieving a broader vision or goal.

Organizations have become the principal meeting place where groups that have historically remained apart are now being brought together. If competing or conflicting groups experience an environment of intergroup collaboration in the workplace, it becomes possible for these experiences to cross back over into the broader society. A ripple effect can be created in which the impact of cross-group collaboration is felt both within organizations and beyond. Looking ahead, this ripple effect will become even more important in developing collaborative interorganizational, cross-sector, and transnational partnerships needed to address pressing global challenges. Developing intergroup leadership holds much promise as a catalyst for positive organizational change, and a lever for improved intergroup relations worldwide.

chapter FOURTEEN

Developing Interdependent Leadership

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In the Introduction to this handbook, leadership development is defined as the expansion of a collective's capacity to produce direction, alignment, and commitment (DAC). This chapter explores the practical meaning of that definition by applying it to case studies of leadership development in organizations. The focus is on the development of what we call interdependent leadership—a high-capacity approach to producing DAC.

We conceive of interdependent leadership as a highly developed stage of leadership culture that can produce DAC in challenging contexts that demand collaboration across boundaries and the inclusion of more diverse perspectives and values, and in which outcomes are more emergent and less predictable. Increasingly groups and organizations face such challenges when they attempt to be more open and responsive in their relations with suppliers and customers, as their workers become more educated and diverse, as they increase the amount of work done by interdisciplinary teams, and as they attempt to unify globally dispersed operations around a single vision. Because these aspirations entail considerable

new complexity and ambiguity, they increase the difficulty of creating and maintaining DAC. Thus, they often demand significant leadership development.

Leadership development aims to change the leadership culture of a collective; this means it aims to change beliefs and practices for producing DAC. To make sense of the idea of changing and developing leadership cultures, a broad way of describing leadership cultures is needed. This chapter presents three broad developmental stages of leadership culture: dependent leadership, independent leadership, and interdependent leadership, with the last the focus of the chapter. We also look at case studies of leadership culture and leadership development in three organizations.

DEPENDENT, INDEPENDENT, AND INTERDEPENDENT LEADERSHIP CULTURES

For the case studies, we approach leadership development from the perspective of constructive-developmental theory, a theory of ego development, as it might apply to leadership cultures (Drath, 2001; McCauley, Drath, Palus, O'Connor, and Baker, 2006; McCauley et al., 2008; Torbert and Associates, 2004). Constructive-developmental theory describes how individuals evolve increasingly complex mental models to guide their knowing and acting as they encounter increasingly complex relations in the world (Kegan, 1994; Torbert and Associates, 2004; Wilber, 2000).

According to the theory, individuals' mental models unfold over time, in sequence, and in response to greater role responsibility, more intimate partnerships, and greater intellectual demands. This theory suggests an analogy useful for understanding change in leadership cultures, with one important difference: in place of the individual's need to understand the self in relation to others and the world, a collective needs to understand how to produce DAC in relation to the collective's environment. Whereas individuals develop increasingly complex and flexible mental models to track their growing understanding of themselves in relation to the world, collectives develop increasingly complex and flexible leadership cultures (enduring patterns of leadership belief and practice) to improve their process for producing DAC.

Three underlying types of leadership culture can, in the right context, produce DAC: a dependent leadership culture, an independent leadership culture, or an

Table 14.1
Summary of Leadership Cultures

Leadership Culture	Basic Approach to Producing DAC
Dependent	Authority, compliance, and loyalty
Independent	Discussion, compromise, and enlightened self-interest
Interdependent	Emergence, shared discovery, and collective learning

interdependent leadership culture. Each type has its own limitations. Table 14.1 summarizes the approach of each type. Such generalized descriptions of leadership culture are, of course, abstractions. However, the practices used to produce DAC are concrete. The case studies presented later focus on specific practices, along with a rationale for identifying those practices as aspects of an interdependent leadership culture.

Dependent Leadership Culture

Dependent leadership culture is broadly characterized by the belief (and the practices associated with the belief) that only people in positions of authority are responsible for producing DAC. DAC is produced by a leader or leaders or persons with legitimate authority who supply unilateral power to invoke compliance and loyalty. The collective is dependent on people with authority to produce DAC. People with authority are usually organized hierarchically such that one person is ultimately responsible for producing DAC.

To think of leadership in cultural terms is to look at it from a systems perspective, that is, as a system of beliefs and practices for producing DAC. The necessary system complement to authority in a dependent leadership culture is compliance. In a dependent leadership culture, compliance of followers is every bit as important as the authority of the leader. Authority plus compliance produces DAC.

Another key aspect of a dependent leadership culture is loyalty. If compliance is to be freely given, followers must feel a sense of steady allegiance to the sources of authority and to the collective itself. Without loyalty to the source of authority (for example, the leader), authoritative directives may be called into question, threatening to break down the dependent system. Also, the impetus for

individuals to expend effort beyond that required for their own needs comes from attachment to and reciprocity with authority figures and a sense of togetherness fostered by a shared condition.

Other characteristics often associated with dependent leadership cultures include concentration of decision-making authority in a few senior positions, seniority and position levels as an important source of status, a conservative approach to change, an emphasis on keeping things running smoothly, and the tendency to smooth over mistakes publicly.

It is easy to stereotype a dependent leadership culture as top down, hierarchical, dictatorial, and so forth. However, it is important to realize that a dependent leadership culture, although based on authority and compliance, is not necessarily coercive. Everyone, not just the leader, participates in the beliefs and practices that produce DAC in a dependent leadership culture. For example, think of a championship basketball team whose players eagerly take their direction from the coach, align themselves by daily practice of their respective roles given them by the coaching staff, and commit themselves to the coach and their shared experience. Of course, many organizations produce DAC using this basic form of leadership culture.

But there is also a limit to the capacity of a collective to produce DAC using a dependent leadership culture. Since voluntary compliance with authority and loyalty to the source of authority are required, the basic beliefs and practices of a dependent leadership culture will fail to produce DAC if compliance is withheld or loyalty is lost. This may happen when people with authority become untrustworthy, the environment becomes too complex for individual leaders to master, or followers develop personally toward increased independence.

When such limitations become critical, a dependent leadership culture is called on to develop culture-wide—not just behaviors must change, but the beliefs that underlie behaviors as well and not just leader beliefs and behaviors must change, but the beliefs and behaviors of all members of the collective as well (Drath, 2001; McGuire and Rhodes, 2009).

Independent Leadership Culture

Independent leadership culture is the set of beliefs and practices for producing DAC that builds on and goes beyond dependent leadership culture. In an independent leadership culture, DAC is produced by argument and mutual influence that lead to concessions, compromises, and agreements. Participants

treat these outcomes as binding and as beneficial to both individuals and the collective. Because the beliefs and practices of an independent leadership culture both include and transcend the beliefs and practices of a dependent culture, an independent leadership culture can produce DAC through dependence on authority when needed, within an overall independent set of beliefs and practices.

An independent leadership culture is a mosaic of individual expertise and knowledge that is brought to bear on the production of DAC through negotiation, mutual influence, and compromise. The role of authority is usually to enforce a compromise or break a tie when negotiation and mutual influence fail to produce clear results.

An important feature of an independent culture is the way in which the perspectives and values of individuals are honored and maintained. The alternative possibilities from which DAC are produced represent values and perspectives from various critical areas of expertise and knowledge within the collective. Areas of knowledge and expertise that are central to the collective tend to be more influential, forming a collective identity that does not depend on an authoritative leader. The relatively independent individuals or units coordinate with one another to realize the contribution of each. Each individual or unit recognizes that expending extra effort on behalf of the collective provides not only collective but individual benefits.

Other characteristics of independent cultures are individual (or individual unit) performance as an important source of success and status, an emphasis on taking calculated risks, open disagreement, and independent actions within functions or work groups.

The negative stereotype of an independent leadership culture is that of a severely siloed organization in which each function competes with the others for dominance, individuals tend to view one another as rivals, and there is little sense of togetherness or esprit. But an independent leadership culture can be highly effective. Think of a thriving international sales organization in which independent geographical units flexibly adapt to their local market conditions within a broad overall collective mission.

Like dependent leadership culture, independent leadership cultures also face limits in their capacity to produce DAC. When the clients or customers of such a collective demand more fully integrated service across the various disciplines and areas of expert knowledge, the value of maintaining independence is reduced. When the environment in which the collective operates grows in complexity

beyond the scope of any given area of expertise, negotiation and compromise may not produce sufficiently integrated action. A deeper sense of togetherness is therefore called forth.

Interdependent Leadership Culture

Interdependent leadership culture is the focus of the case studies in this chapter. In the developmental framework offered here, interdependent culture is seen as a natural development of leadership beliefs and practices beyond independent leadership culture. Interdependence is called forth by increasing recognition of the systemic relations among not only the internal parts of a collective but also between and among external collectives, such as customers, suppliers, governments, and even competitors. Interdependent leadership beliefs and practices build on and go beyond independent beliefs and practices.

An interdependent leadership culture is broadly characterized by the assumption that creating and maintaining DAC is a collective activity that requires mutual inquiry and learning. DAC is produced by recognizing, articulating, and making explicit emerging new perspectives. Emergence is qualitatively different from agreement through compromise (in which elements of preexisting perspectives are combined such that portions of independent perspectives are maintained). In an interdependent leadership culture, DAC is created not by honoring and combining differing perspectives but by opening up existing perspectives to change. All views entering into dialogue are open to inquiry, doubt, and transformation. New perspectives arise from the discovery of previously unsuspected, implicit connections and affinities among differences. An emergent perspective is a shared discovery that drives further engagement and learning. The collective is seen by individuals as an ongoing source of creative energy and possibility for both the individual and the collective itself. The collective becomes a learning system (Senge, 1990).

Other characteristics of an interdependent leadership culture include extensive collaborative work across organizational boundaries, interpersonal openness and candor, multifaceted standards of success, and synergies sought across the whole enterprise. Multiple systems are given credence and are seen as equally useful in interpreting and responding to external conditions.

The negative stereotype of interdependent leadership is chaos, endless meetings, and a lack of accountability: everyone is responsible, and thus no one is responsible. Since interdependence is a newly emergent approach to producing DAC, it is likely that many collectives that are attempting to develop this culture

have not yet mastered its intricacies. The case studies and interventions reported in the rest of this chapter describe the struggles as much as the successes of this approach.

PUTTING THE THREE LEADERSHIP CULTURES BACK TOGETHER

Now that we have differentiated the three leadership cultures, a sense of realism calls us to put them back together. The basic idea is that the more an organization has developed toward the more complex independent and interdependent cultures, the more likely it is that such an organization includes elements of all three cultures. Also, since the interdependent culture is relatively rare (as we found in our studies), its presence is likely to be much more attenuated than the other two, even in a highly developed leadership culture.

It is likely that some groups and organizations operate almost completely within a dependent culture, such as the basketball team mentioned earlier. Other types of organizations that likely operate in a more or less fully dependent mode are family-owned businesses where the founder-owner is still in charge (but one of the case studies presents a striking exception); high-control organizations with a tight chain of command, such as police and fire departments and some military units; and organizations that employ primarily unskilled or uneducated workers who require and expect to be told what to do by someone who knows. We hypothesize that such organizations are appropriately operating within a fully dependent leadership culture. However, it is unlikely that an organization would develop an independent leadership culture and in so doing completely abandon dependent practices. For example, an organization that manufactures, sells, and distributes products might have a dependent culture in its manufacturing operations (although this is by no means certain, as will be seen in the case already mentioned) and a more independent culture in its sales operations.

An organization that has developed an interdependent culture, unless it is a small, tightly knit group of like-minded individuals, is likely to exhibit leadership practices based on all three cultures. For example, an organization that provides mental health services might exhibit a dependent culture in its support staff, an independent culture in its case workers, and an interdependent culture in its relations with other public health agencies.

The reason for this inevitable mixing of the three leadership cultures is that as the complexity of the culture and practices for producing DAC increases, the demands on the mental and emotional maturity of individuals increase. In large,

complex organizations where one expects to find a variety of individuals with differing degrees of mental and emotional maturity and a variety of types of work calling for differing approaches to producing DAC, multiple leadership cultures likely coexist.

A final point is related to the applicability of this framework in national cultures other than the United States. The broad outline of these three leadership cultures suggests a movement from hierarchy and individualism toward more collective, egalitarian approaches. This may seem to be an example of a highly individualistic culture (in this case, the United States and the three American authors) seeing the light that other, more pluralistic cultures have long ago understood. This may be true. However, it is equally possible that a dependent leadership culture could exist and work effectively within a broader collectivist culture. Such cultures often rely on systems of authority to create DAC, although the role and status of individuals as leaders may be deemphasized.

Likewise, an interdependent leadership culture may prize individuals whose maturity enables them to hold even cherished values and perspectives lightly enough to allow the emergence of new perspectives.

In short, there is nothing inherently individualistic about dependent leadership or independent leadership, and there is nothing inherently collectivist about interdependent leadership. This framework for thinking about leadership development can be helpful in a wide variety of cultures. That being said, the following case studies all involve U.S. organizations, and thus any conclusions that may be drawn from them are subject to cultural limitations.

CASE STUDIES OF INTERDEPENDENT LEADERSHIP PRACTICES

Each of these case studies focuses on an interdependent approach to producing DAC. Although the organizations may be referred to as operating from an interdependent culture, this should be understood as meaning that the organization exhibited significant interdependent leadership practices. What it would mean for a leadership culture to be fully interdependent is still an open question. For each of the practices described, however, we advance reasons in support of viewing the practice as an interdependent practice and thus, at least potentially, the kind of practice one would expect to find in an interdependent leadership culture. All of the practices described are real (they are not composites of several organizations), and in each case permission was obtained to use the actual name of the organization.

"Putting It in the Middle" at Lenoir Memorial Hospital

Lenoir Memorial Hospital (LMH) is a nonprofit community hospital with over a hundred physicians and 261 beds in Kinston, North Carolina. Its mission is to provide area residents with cost-effective health care services resulting in excellent clinical outcomes, improved health status, and outstanding customer service. In 2002, when researcher consultants from the Center for Creative Leadership (CCL), using an action inquiry approach (Torbert and Associates, 2004), began to engage with the organization, LMH was confronting a challenging environment. The hospital faced increased competition from larger regional hospitals nearby trying to attract patients with the latest technology, as well as from specialty clinics. Changing demographics also posed a challenge: increasing numbers of economically disadvantaged patients caused by failures of local industry reduced the pool of those who were fully insured, cutting the hospital's revenue base. Even so, there was an increasing need to invest in newer technologies to compete and attract wealthier and better-insured patients. LMH was torn between decreasing revenues and the need for greater investment; it was a crisis that threatened the hospital's very existence. Innovative ideas were needed.

LMH was limited by a dependent leadership culture in which conformance to rules and regulations was taken to be the highest priority. Employees were accustomed to doing what they were told; there was little sense that initiative and new ideas were wanted. This greatly narrowed the possibility of creative new ideas coming from throughout the organization. There was also a very steep hierarchical structure and a strong silo mentality that led to the creation of distinct subcultures, some of which operated with a more independent mind-set and tended to develop their own sense of "right answers" but with none of them really understanding the others.

In addition, it was considered rude to openly disagree. People tended to keep things smooth and harmonious on the surface. This reinforced the dependence on authority figures, who typically encountered little or no criticism or questioning of their opinions and perspectives. This in turn further narrowed the range of ideas that could be generated to address the challenges LMH faced.

The researcher consultants introduced a tool they called "putting it in the middle." When a group begins to deal with an issue about which there is likely to be disagreement, they can switch gears from talking to one another and instead speak solely to the issue at hand by objectifying the issue in the form of a phrase (for example, "patient safety"), sentence ("Patient safety should be our top

priority''), or even a data set (statistics on patient safety) (Palus and Drath, 2001). For example, instead of saying, ''I disagree with your view of patient safety,'' a person could say, ''Here's what I see when I think about patient safety.'' This is an intentional effort to take the ''it'' as an object of mutual inquiry, reflect openly, identify advocacy, and balance advocacy with inquiry. All of these are features of dialogue (Bohm, 1990). The difference between directly evaluating and commenting on the perspectives of others and speaking to the issue in the middle may seem simple, and it is, but at LMH, it created a way for people to stay engaged and respectful while surfacing differences. As one participating manager said, ''I can fuss with anyone and still maintain respect. Conflict is okay now.''

This tool became a new practice that increased the capacity of the organization to produce DAC: being able to disagree without causing a rupture, even with those in authority, allowed individuals to bring out new ideas for consideration by the group. New ideas arrived at collaboratively helped produce more agreement on direction, better alignment, and stronger commitment. Between 2002 and 2008, this resulted in measurable changes in self-reported leadership culture (the beliefs and practices for producing DAC) at LMH from a prevailing mode of dependent practices in 2002 to one of interdependent practices in 2008.

This tool for promoting dialogue was widely credited with helping people have conversations across boundaries and thus align across the hospital's specialties and subsystems. Commitment also increased as people became more personally and collectively invested in their shared work. Perhaps most telling, meetings, which were once occasions for little more than information sharing, became known as an integral part of effective work. ''My whole thought process shifted,'' one manager said. ''We use meetings to work issues and to do our active learning together.''

From the perspective of this chapter's framework, putting it in the middle is an interdependent leadership practice because it includes the independent mode of compromise and negotiation while it simultaneously transcends the independent mode and supports mutual inquiry. It includes compromise and negotiation because speaking to the middle does not prevent participants from hashing out compromises among differing views or negotiating solutions. It transcends the independent mode because it allows participants to frame individual perspectives holistically as parts of a larger whole, parts that are flexible and transformable in the search for new ideas.

Overall, putting it in the middle catalyzed a transformation in the leadership culture at LMH. By enabling people to surface, engage, and work through differences and conflicts without damaging relationships, this practice not only opened the way to more ideas and a larger set of potential solutions. It also helped people see how in their work they were learning partners. The differences (in perspective, personality, and profession) that had once separated them instead became powerful links. ''I'm much more open to the style of the other person,'' a manager reported. ''I figure out my personality and theirs. It's not just about me.'' Another manager said, ''Our culture has been transforming to a more open, trusting, and cohesive workforce. It translates to an improved health care provider that our community is remarking about constantly in regard to how much better we are.''

The Process-Centered Organization at Abrasive Technologies

The technique of putting it in the middle at LMH shows the way in which a well-chosen single practice can, over a period of time, catalyze a transformation in the leadership culture of an organization. With the case of Abrasive Technologies (ATI), transformation was brought about by a pervasive and fundamental change in the way the organization was conceived.

ATI is a globally integrated company with headquarters near Columbus, Ohio. The company designs, manufactures, and markets diamond-based products for superabrasive precision grinding and tooling. Founded in 1971, ATI has nine plants in four countries and about 425 employees worldwide. The company owns numerous patents and continues to innovate and develop new products and processes. ATI has expanded through sustained internal growth as well as a series of strategic acquisitions over the years. It has thousands of custom-engineered and in-stock products serving the aerospace, automotive, ceramics, glass, lapidary, medical and dental, stone, textiles, and tool and die industries, among others.

Unlike LMH, which faced severe challenges in its competitive environment, ATI has long been the dominant player, being number one or two in several of its niche industries. The impetus to transform its leadership culture did not come from an external need but from the aspiration of its founder, owner, and president to create a company, as he put it, ''that I would want to work for.'' He aspired to a company in which every employee felt a sense of ownership and responsibility and viewed his or her job in the light of its overall contribution to success. To this end, in fall 2001 he instituted an organizational form designed not

around hierarchy but around work processes: the process-centered organization (Hammer, 1996).

In the place of functional units headed by a manager, the work process team is the key organizational unit of a process-centered organization. There are no traditional vice presidents, managers, or supervisors. Rather, there are process engineers whose responsibility is to collaborate with members of the process to improve its effectiveness. The supervisory function is performed by the team itself. The process team is responsible for its outputs and also for the conduct of its members; scheduling, work flow, attendance, assignments, and more are all handled by the process team. The process-centered organization is designed to provide a positive focus for employees (called associates) and reward them for individual, team, and overall organizational success. The goal is the customer-focused continuous improvement of all of the organization's processes.

A key role in the process-centered organization is that of the coach. Coaches partner closely with process engineers, providing counsel to individuals and whole process teams on training and development, teamwork development, conflict resolutions, 360-degree biannual performance reviews and discussions, and other human resource concerns.

The institution of the process-centered organization brought about a transformation in ATI's leadership culture. Before the change, ATI exhibited a dependent leadership culture of command and control. In effect, the introduction of the process-centered organization by mandate of the CEO represented the use of command and control to eventually undermine command and control (Uhl-Bien, Marion, and McKelvey, 2007). It did not happen overnight. One machinist at ATI, speaking at the time of the change, summed up the attitude of many workers: "I do my eight, and I hit the gate." Like many others, he was enculturated within the dependent leadership culture and had no interest in participating in a process that required his active engagement with others. Faced with this deeply held resistance to the change, the CEO found it necessary to cut off debate. Employees either complied or left. New associates were hired with the process-centered culture in mind.

There was a critical episode in which the CEO was successfully challenged in public (something that had never happened before). One associate reported, "After that, it became easier to challenge each other." Thus, more employees started to make the necessary shift to an independent mode, taking personal responsibility, thinking for themselves, and speaking out. For example, ATI got rid of time clocks and provided attendance guidelines to employees, who were

then personally responsible for managing their time on the job. The organization encouraged employees to own their work and get things accomplished through influence rather than formal authority. Individuals operating in an independent mode are better equipped to work effectively in peer contexts where the normal leader-follower roles do not exist.

Over the course of several years, further development of the process-centered organization transformed the culture once again, this time from independence to interdependence. For example, many associates are cross-trained and routinely move from process to process, aligning among themselves to meet emergent manufacturing needs. This calls for ongoing lateral communication and coordination among process teams, including the overarching teams that cover strategy and finance. Associates increasingly have a comprehensive view of the organization overall. They become adept at boundary crossing and working across processes. They participate in a dance of mutual adjustments to improve not just their own local operating system but the entire intersystemic network as it extends to the customer.

Shared direction is created by the vision of transforming the organization into something more effective and much more satisfying to work for. Decisions are taken with this vision always in mind. Collaboration among sometimes contrary viewpoints, rather than the earlier independent norms of negotiation and compromise, is the norm. Many associates relish this development: "There is more than one right answer. There are multiple right answers. . . . In 2005 there was an explosion of energy and power in overcoming fear and developing trust and taking on risk and becoming collaborative." During the annual planning process, process engineers gather data from process team associates on their staffing and resource needs. At an annual meeting, process engineers present operational plans, and a dialogue follows in which plans are modified based on areas of conflict and synergy.

From the perspective of the framework being offered here, the process-centered organization is an interdependent leadership practice because it includes the independent mode of negotiation and compromise as the various work processes negotiate for resources and work out their shared accountabilities. At the same time it transcends the independent mode because it not only enables but actually demands that individuals and process teams view their accountabilities and outcomes in light of the system of processes overall within the organization and between the organization, suppliers, and customers.

The full transition to the process-centered organization required the replacement of many former associates. The human resource work team needed to develop a screening and interviewing process that would identify individuals whose mental models about work and career could accommodate the higher expectations for responsibility and accountability called for (in the case of traditionally hourly employees) and the reduced status and perquisites (in the case of traditional management employees). Thus, the transformation of ATI from a culture of dependent leadership to one of interdependent leadership involved selection of individuals as much as it did development of individuals in place. The transformation of a leadership culture may not always be possible solely through the development of current organizational members.

Centralization and Decentralization at Resources for Human Development

In the case study of Lenoir Memorial Hospital, a tool for promoting dialogue catalyzed a transformation toward interdependent leadership culture. In the case of ATI, an approach to structuring the organization around work processes led to a transformation toward interdependent beliefs and practices for producing DAC. In the case of Resources for Human Development (RHD), a guiding philosophy and a set of rules for action based on that philosophy constitute a key element of an interdependent leadership culture.

Resources for Human Development is a nonprofit human services organization based in Philadelphia, Pennsylvania. It partners with government, foundations, corporations, and other agencies to provide health and social services (primarily residential programs for dependent populations) in a variety of challenging contexts. The organization offers more than a hundred programs and has about three thousand employees in ten U.S. states. Since its founding in 1970, RHD's gross revenue has grown at an annual average rate of 28 percent.

RHD's high rate of growth is part of the long-term strategy of the organization to address its key challenge: remaining financially self-sufficient required continuing growth. Social service agencies typically rise or fall based on funding and fiscal management. Many such organizations struggle on both fronts: they fail to sustain sources of funding and do a poor job of managing the money they have. To ensure sustainable growth and thus self-sufficiency, RHD became a multipurpose organization that would engage in a wide variety of programs, seeking funding from many different sources. This called for an organization of independent

entrepreneurs who could go out and work with small high-performance teams to secure funding for new programs and also acquire new technology, competencies, and resources that could be used to serve an increasing number of people and communities in need.

RHD began with an independent leadership culture as a strategy. The organization's founders intentionally created a culture of independent entrepreneurs who could work autonomously; DAC was produced as independent individuals pursued success. The question this raises is how to get independent entrepreneurs to work together for the good of RHD overall and not just work for their own (even if enlightened) self-interest?

The obvious answer is centralization. Coordination of independent agents is usually accomplished by centralizing control systems such as human resources, finance, planning, and strategy formation. Centralization in turn creates its own problems: How do you maintain creativity and individual initiative under centralized control? Decentralization threatens togetherness; centralization threatens autonomy. Often organizations experience a centralization-decentralization yo-yo effect as they run from the threats of one end to the opportunities of the other and then back again.

The heart of RHD's interdependent leadership culture is the philosophy that centralization and decentralization are dialectical poles that must be held in continual equipoise; this means constantly exploring and reexamining what is centralized and what is decentralized and making and remaking decisions as events unfold. This idea is so common in RHD that they have a name for it: "cent-decent." To sustain continuous growth, the organization tilts in the direction of decentralization using the following rule of action (as stated by the founders): "decentralize what you can; centralize what you must." However, the operational meanings of "what you can" and "what you must" are continuous topics of dialogue in cent-decent meetings.

Cent-decent meetings are open to all and employ a rotating facilitator; in effect, everyone owns such meetings. Those who show up for the meeting bring with them the cent-decent issues they think need to be talked about. For example, someone might bring up the question of whether the job of reporting payroll time should be exclusively processed in each (decentralized) unit or whether some of the job would be better handled in the central office. Should training and education be centrally designed and mandated or left up to the units? Should units have the freedom to create their own clinical services? As conversations like

this continue and develop, decisions emerge and are ratified by directors. (Note how dependent authority structures are still useful as tools within the overall interdependent culture.) Sometimes decisions are made that take the organization down completely new pathways; DAC is often literally emergent from ongoing dialogue. Once made, decisions and the policies and practices that instantiate them continue to be open to dialogue. The search for a third way through the cent-decent polarity never ends (see Table 14.2). As the founder puts it, "RHD does well when we find the balance that works best for a particular corporate challenge."

From the perspective of this chapter's framework, cent-decent meetings and the philosophy on which they are based form the core of a predominantly interdependent leadership culture. As a leadership practice, a cent-decent meeting is interdependent because it includes the independent leadership practices involved in empowering autonomous entrepreneurs. The decentralizing tendencies that support autonomy are fully operational in the dialogue. At the same time, a cent-decent meeting transcends independent leadership practice because the (independent) decentralizing practices are held in a dynamic balance with the (often dependent) centralizing practices: both centralization and decentralization are viewed as tools, each with its particular usefulness and limitations. It is the intentional mutual inquiry into the balance between centralization and

Table 14.2
Examples of Centralizing and Decentralizing Forces

Centralization Tendency	Decentralization Tendency
Financial controls to meet fiscal reporting requirements	Financial freedom to use resources creatively and effectively
Growing successful programs that attract more resources	Creating new programs that require investment of resources
Consistency of decisions and policies that affect everyone	Sensitivity of decisions and policies to local conditions
Work that calls for large groups of people working in tight coordination with strict accountabilities	Work that calls for small groups of people working face-to-face in peerlike relationships

decentralization that marks the interdependence of this leadership practice: the search for a third way through the polarity and the emergence of new ideas as part of the search.

DEVELOPING AN INTERDEPENDENT LEADERSHIP CULTURE

The three case studies are far from conclusive evidence for the validity of the concept of leadership cultures. They were preliminary studies and were intended to discover whether interdependent leadership practices even existed in organizations. That question entails the further question of whether the typology of leadership cultures presented here—dependent, independent, interdependent—is useful in thinking about and supporting leadership development. The intent is to lay out a coherent way to view leadership development in terms other than those of individual leader development. The relevant question is how leadership development, conceived as increasing the capacity of a collective to produce DAC, can be initiated and sustained.

An interdependent leadership culture most often consists of a mixture of dependent, independent, and interdependent beliefs and practices aimed at producing DAC. The prerequisite for developing an interdependent culture, then, is the prior development of independent practices. A collective that produces DAC solely through dependent practices and beliefs is not likely to be able to stretch so far as to embrace interdependence without first having developed independence.

Developing a predominantly dependent leadership culture toward becoming an independent leadership culture requires more than the development of individual leaders. As presented in the Introduction to this handbook, this kind of leadership development encompasses individual development, relationship development, team development, organization development, changes in patterns of beliefs and behaviors in the collective, and changes in systems and processes.

The following sections take up the moves from a dependent leadership culture to an independent culture and then from independent to interdependent. The suggestions for developing independent and interdependent leadership in these sections are based on case studies and are anecdotal; they are not based on empirical study.

Developing an Independent Leadership Culture

Sometimes development just happens. When an individual or a collective faces a challenge for which its current beliefs and practices prove an inadequate response, the individual or collective can reflexively adopt new beliefs and practices, often as an experiment, until something works. The resulting new belief and practice then becomes more likely to be repeated under similar conditions in the future and the emergence of new beliefs and practices is under way. With this kind of developmental path, the beliefs and practices that will emerge may be hard to predict, much less control.

But development is also often intentional. An individual or collective can make an assessment of its leadership beliefs and practices, identifying those that are imposing limitations on effective behavior or performance, followed by designing a process for supporting developmental transformation of those beliefs and practices.

In the case of development beyond dependent leadership, intentionality may be required. The reason is that a dependent culture centers on authority and the dictates of those with authority. Change comes about (when it does) as a result of authoritative pronouncements from those in charge. Thus, in many collectives, a change of leadership culture from dependent to independent will require the active intentions, planning, and support of people in charge.

Somewhat paradoxically, individuals in charge must command a change that will significantly deemphasize their own centrality. For example, at ATI, senior leaders closed each plant for a day to demonstrate their seriousness about taking time out for learning. They showed up to lead the learning days, expressing the attitude that "I am a member of my team, and my team can make decisions and take action to improve the customer process." As one might expect, not all people in charge are willing to take this on.

Often individual leader development is required to prepare people in charge to lead the transformation of the leadership culture. Individual development can help people in charge begin to engage in and demonstrate the new leadership beliefs and practices they wish to see in the entire organization. It can help them understand how to shift their own roles, take risks, be vulnerable, and make some mistakes in public. These behaviors help to undermine the dependent reliance on authority and prepare the individual and others to take on more independence.

Once those in charge have become intentional about creating the conditions for a transformation from a dependent leadership culture to an independent one, organization-level programs can be put in place. Such programs often include the following:

- *Data-based performance review and effective performance feedback.* Too often in dependent leadership cultures, performance is judged more by loyalty, even degree of obedience, than on the basis of more objective criteria. Setting up systems for performance planning and review is both a necessary support for a more independent culture and an impetus toward greater independence. Peer feedback in the performance system can be an important step toward paying attention to learning from those other than the supervisor.
- *Professional and leader training and development.* Professions and technical specialties promote greater independence because they provide a foundation of values and behaviors in addition to that provided by authority. A technical expert or professional has a basis for questioning the dictates of authority and thinking from a different perspective. Also, leader training and development can include perspectives of individual achievement that also promote more independent thinking.
- *Selection on the basis of independent beliefs and attitudes.* ATI found it necessary to replace individuals who required or preferred a dependent leadership culture with those who wanted to work more independently. It may be necessary to create new screening and hiring practices that allow assessment of a potential member's mental models with respect to dependence and independence.
- *Environmental scanning and an external focus.* Often a collective operating from a dependent leadership culture is inwardly focused on its own authority structures and hierarchies of knowledge and power. A marked shift in attention from within the organization to external markets, suppliers, and customers both supports a move to greater independence and acts as an impetus in that direction.
- *Support and reward for creativity in teams and for creative individuals.* Dependent leadership cultures are usually conformist; conforming to expectations, rules, and commands tends to be the most highly rewarded behavior. Changing the latitude given to product teams or creating cross-functional teams with authority

can significantly increase customer-based practices and shift the perception of loyalty and authority from the boss to the customer. Changing the reward structure to include significant supports for creative ideas, productive unconventional thinking, and the creation of positive turbulence (Gryskiewicz, 1999) puts economic and psychic support behind greater independence.

- *Framing and rotating leader roles.* A characteristic of dependent leadership culture is the identification of leadership with authority: leadership means the people in charge. Reframing the leader as a role that many people can play, not just people in charge, expands the pool of leaders understood to exist within the collective. More people empowered to act as leaders means more people who can view themselves as creators and initiators, which moves toward greater independence.

- *Support for the development of interdependent beliefs and practices.* In many dependent leadership cultures, individuals in charge often understand themselves in independent terms. They see themselves as autonomous initiators, entrepreneurs, or creative thinkers. These are, of course, the characteristics aimed at for many, if not most, individuals in moving toward an independent culture. For independent beliefs and practices to grow and spread and become an overall culture, it is helpful for those with power and authority to move from independence to interdependence, thereby creating greater developmental headroom for those with less authority and power (McGuire and Rhodes, 2009). Such a developmental move also helps individuals with authority and power to let go of their exclusive grip on creativity and initiation and let others take up that role as well.

From the perspective of the framework offered here, the move from dependence to independence is a necessary prerequisite for developing an interdependent leadership culture. Strong, effective independent beliefs and practices for producing DAC create the foundation that will itself be transformed in the move to interdependent leadership culture.

Developing an Interdependent Leadership Culture

The development of an interdependent leadership culture goes beyond and transforms an independent leadership culture. Independent beliefs and practices must change status from the foundation of leadership to a tool within a larger

interdependent culture, just as dependent beliefs and practices earlier became tools within an independent culture. The effectiveness of collective programs supporting the development of interdependence thus assumes the existence of many of the programs supporting an independent leadership culture already discussed:

- *Strategic work in cross-boundary teams.* Boundaries in an independent leadership culture represent functions, specialties, and professions; they define independent domains and provide sources of identity for independent individuals. In an independent leadership culture, work is often pursued in a boundary-crossing mode to get everyone who is involved represented at the table. In an interdependent leadership culture, the purpose of crossing boundaries goes beyond inclusiveness; cross-boundary teams aim at creating emergent ideas using the various existing perspectives as tools toward this end (rather than as ends in themselves). Holding teams, in addition to individuals, accountable for outcomes supports the development of shared work, emergent roles, mutual inquiry, and the integration of differences.
- *Intentional use of dialogue.* In the case study of Lenoir Memorial Hospital, the practice of putting it in the middle supported people in dealing with difference and conflicts productively. Dialogue refers to conversational practices that allow independent individuals (with perhaps strong opinions and perspectives) to hold differing points of view and values in balance. It includes advocacy and transcends it. The various advocacies of independent individuals are taken as elements that interact as people engage in mutual inquiry.
- *Support for intersystemic decision making.* In independent leadership cultures, many decisions are pushed down to local autonomous units (which represents a significant change over dependent practices that rely mostly on decisions from the highest sources of authority). Interdependent leadership cultures include the practice of making decisions close to the work but also transcend such decision making by supporting local decision makers in taking an intersystemic view—seeing their local concerns as local and as an aspect of a larger whole. Dialogue is an essential practice for local decision makers as they work to advocate for their independent concerns while simultaneously inquiring mutually with other parts of the whole.

• *Processes for creating and sustaining a leadership strategy.* In an interdependent leadership culture, leadership itself is subject to strategic planning, not left as a default to whatever processes already exist. A leadership strategy is a collective's explicit intent with respect to how it will produce DAC. The leadership strategy is crafted to support the successful pursuit of the collective work strategy (business strategy, mission, vision). A leadership strategy is not only a strategy for people in positions of authority, but includes the beliefs and practices that everyone in the organization will need to participate in. An example of part of a leadership strategy is the cent-decent philosophy at RHD as a way of realizing the mission and vision.

• *Selection and hiring practices that pay attention to mental models and cognitive complexity.* Working in a collective that produces DAC using an interdependent leadership strategy calls for individuals who can navigate the complexities and ambiguities of holding opposing perspectives together in productive balance (a prerequisite for engaging in mutual inquiry). Traditional screening, interviewing, and assessment practices take little, if any, account of an individual's mental processing and do not provide an assessment of how well an individual is likely to fit into an interdependent leadership culture. In the case of ATI, entirely new interviewing practices were developed to ensure that new employees would be able to work effectively in a process-centered organization.

• *Institutionalized disruption as opportunities for innovation.* Collectives that operate with a dependent leadership culture place a high value on maintaining stability and deal with threats to smooth functioning as a matter of course. Collectives operating with an independent leadership culture are better equipped to deal with differences and conflicts through negotiation and compromise, but the goal is often to reduce conflicts and manage differences in such a way that they are resolved as productively as possible. Collectives with an interdependent leadership culture also need to be able to handle disruption when required; in that sense, such cultures include the independent approaches of negotiation and compromise. But interdependent cultures transcend the smoothing over of such disruptions and actually welcome and even initiate disruptive ideas and events in order to help people reframe perspectives and think creatively on a regular basis. Disruptive change is often accepted as the cost of pursuing and implementing new ideas.

• *The use of action learning teams to do real work.* Action learning is an approach to leadership development in which participants learn and grow together by

working on strategic projects. The development of an interdependent leadership culture requires more than classroom learning: hands-on learning is needed to introduce people to the complexities of interdependent beliefs and practices. For this, action learning teams must accomplish real, strategic work, not just study and report. This means taking on a project in an area of strategic importance to the collective, doing the background research, making recommendations, and, most important, being involved in the implementation of those recommendations. This approach to action learning means that the team will be required to work across boundaries as well as work up and down the hierarchy, influencing peers and superiors as they go. Working a project such as this creates a practice field on which the team members work interdependently with one another and with others in the collective. As more and more action learning teams are constituted and empowered to do real work, the use of interdependent practices grows, and more and more individuals (even those not on action learning teams) experience interdependent approaches to leadership. In this way, an interdependent culture grows naturally out of action; the beliefs and practices of an interdependent culture develop as an outgrowth of working interdependently.

CONCLUSION

Developing leadership means developing the beliefs and practices by which a collective produces DAC; leadership development is thus a form of culture development. The development of leadership culture includes and often requires the ongoing development of individual leaders. When leadership strategy calls for interdependent leadership, development at both the level of the individual and the level of collective beliefs and practices is vital.

Interdependent beliefs and practices can seem paradoxical: centralization and decentralization; strong individual leaders and strong shared leadership; the autonomy of parts and the primacy of the whole; individual advocacy and mutual inquiry. Learning how to work with these seeming paradoxes calls on individuals to develop more complex mental models of the world, themselves, and their relationships to others.

Leader development often focuses (for many good reasons of efficacy and efficiency) on individuals with the most authority and power. The development of an interdependent leadership culture calls for more. An interdependent leadership culture by definition potentially includes everyone in the organization. As culture

change proceeds, the development of individuals with the most authority and power becomes just one facet of a comprehensive transformation of the collective beliefs and practices. However, until the organization can begin to think beyond dependence and independence, individuals with a great deal of authority and power will remain a key focal point for producing DAC as well as changing the way DAC is produced. Another paradox is that those individuals, often in spite of their authority and power, must move toward interdependence while the organization is still dependent on them.

Afterword

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This handbook presents much of what we at the Center for Creative Leadership (CCL) have learned and are continuing to learn about leader and leadership development. We ask, and answer, important questions in this book, and hope we have done so in a way that is useful to readers.

As we reflect on what is included here, it is clear there are areas where our knowledge has advanced and others where it is not fully developed. We have not yet addressed some compelling issues. Some of these are questions we believe we are on the verge of answering, and others are issues we know our research and practice will address going forward, or that we would hope others take on in their own efforts. They are also questions about which we need to further engage through dialogue and interaction among ourselves as human resource and training and development practitioners, leadership scholars, coaching professionals, and practicing managers. Here is a sampling of the questions occurring to us as most relevant going forward.

What are the unique development needs of new audiences for leader and leadership development? Do our tools and methods need to be modified to be useful and accessible for these groups?

For the first time in this edition of the book, we have included a chapter on leader development for educators, who operate in a context very different from

that of business leaders and face unique challenges. We have found in our work with them that the feedback-intensive processes we have developed for use in the business world work in terms of helping educators develop the skills and perspectives they need to be effective. That said, a variety of contextual factors should be taken into account when working with educators, making that work unique in many ways covered in that chapter. But what about other contexts and audiences, such as youth, community leaders, or people working in small or nonprofit organizations in western Africa or rural India? We know less about the specific leadership challenges they face or the contextual factors that might get in the way of doing leader development with a business-as-usual attitude and, at the same time, providing useful, high-impact developmental experiences.

We have also included a chapter on working with individuals and groups in the developing world for the first time in this edition. Yet our experiences so far with leader development in African countries and in India, for example, raise as many questions as we have answered. It appears that attending a short program that is light on formal assessment tools (so as to make it less expensive and more portable) is still a powerful experience for people in these contexts. However, we do not yet have hard data on the longer-term impact of those experiences—that is, measures of how people are changed or made more effective in their leadership roles, or what new or different impact they have on their groups and in their communities. Much research is still to be done. And we know virtually nothing about how leaders develop naturally in those contexts. While we have done much research on the lessons of experience of managers in corporate settings around the world, that research has shown that formal leadership development programs play a relatively small role overall in corporate managers' development across their careers. We do not know how people learn to lead in these other contexts absent programs like ours, or if leadership is even something people worldwide understand can be developed through experience. Certainly we at CCL and others in the leadership development field have much to learn as both leader and leadership development become increasingly global and more widely accessible.

Finally, youth leader development is widely available in the United States through colleges, community organizations like the YMCA, churches, or national organizations like the Girl and Boy Scouts. Yet much of this is based on models that were designed for working with adults (one exception may be the Girl Scouts; see Schoenberg, Salmond, and Fleshman, 2008). For example, we know that 360-degree feedback, when properly administered and supported, is a challenging

and useful experience for most adults. Sorting through and making meaning of the different views of bosses, peers, and direct reports is something that provides a developmental experience when an individual is ready to hold multiple perceptions of himself or herself in some kind of comfortable relationship with one's own self-view. But we know that high school and even college youth are more subject to the views of authority figures and peers (Kegan, 1994; see also Van Velsor and Drath's chapter on the Web site) and may be confused, and even overwhelmed, by conflicting or negative feedback. Although the experience may not be damaging in any significant way, it may be that when this kind of assessment is used with youth, a different or more extensive support process is necessary for optimal development.

What are best practices for leadership development, that is, for working at a collective level to help organizations maximize capability to produce direction, alignment, and commitment?

With each new edition of this book, we have expanded our understanding of best practices for leadership development, practices for expanding an organization's capacity to enact the basic leadership tasks of setting direction, creating alignment, and maintaining commitment. We believe the significant strides we have made in this area in recent years are well represented in this edition. However, we are also keenly aware of how much we still need to clarify in our thinking and improve in our practice. We often discuss leader and leadership development as if they are necessarily separate or independent activities. Of course, they can be, but we are still becoming clear on how to integrate those conceptually and in practice. What should be the relationship between the two? One line of thinking about best practice is that leader development preferably should come first. That is, even when working to enhance organizational leadership capacity, leader development initiatives targeted at enhancing leader self-awareness and improving individual capabilities should precede attempts to work at an organizational culture change level. Yet we have few examples to demonstrate that this is actually the best way to proceed in terms of impact or efficiency of effort. Another line of thinking is that the two should happen in parallel: organizational culture and individuals should change in concert, with the changes at one level reinforcing changes at the other. A third is that individuals can experience profound personal development as a result of participating in an intervention aimed at organizational change and that

individual development efforts should be a follow-up to organizational change efforts. It makes sense to believe that organizational cultures cannot change unless individuals do, but we as yet do not have the empirical data to figure out how to sequence interventions so they are most effective.

Moreover, we are clear as we look back over much of the new and exciting content within this book that it offers many suggestions about how to develop organizational capacity for leadership (to improve a collective's ability to produce DAC). Yet we have few fully tested examples from our own work to offer for illustrating how to go about best practice leadership development. We are increasingly using action learning as one methodology, with promising results. We are also achieving good results with group-level simulations. But we clearly do not have the array of practices, or the depth of knowledge of leadership development methods that we at CCL want to have or that organizations need from all of us in this field. And we have yet to fully integrate a model for leadership development into our DAC model of leadership. All this is work to be done, and we expect to have much more to say about this in the months and years to come.

How can leader and leadership development be made cheaper, faster, and better?

This may be the question we are asked most frequently by clients, and it is certainly one that interests and, at times, confounds us. Like everything else in today's world, leader and leadership development can seem painfully slow compared to faster and faster information technologies or the demands we all face amid our generally quickened pace of life. This contrast is perhaps in particularly high relief with the types of days- or weeks-long reflective leader and leadership development experiences offered through typical feedback-intensive programs or action development processes. Although participants in those programs usually experience significant impact in the form of enhancement of self-awareness or awareness of the strengths and weaknesses of collective culture, clients often ask, "Can we make it cheaper and faster?" Of course, the often unspoken desire is that it be cheaper and faster—and with no detriment to quality, or perhaps even better.

We believe the answer to this question may lie partly in what one conceives of as better. As demonstrated in Chapter Eight, programs can be made cheaper by making them shorter (faster), stripping them of some of the assessments typically

used, eliminating the professional coaching the assessments necessitate, giving up the accoutrements of a high-tech classroom, and holding the sessions locally to eliminate the need for travel. For certain audiences, this kind of shorter, cheaper program still appears to have high impact, perhaps most often in contexts where groups have no prior experience with formal leader development. But one might wonder whether these same programs would be seen as "better" by audiences that have come to expect more in terms of assessments, coaching, and customization. If "better" means "with higher impact" or "with greater behavior change," then reducing the intensiveness of the feedback experience and allowing less time for interaction and reflection would not seem to be the best setup for higher impact. Yet perhaps the most important point to make here is that we do not yet have empirical data with which to compare how or how much people develop as a result of a shorter and cheaper program versus a longer and more expensive one.

One idea often proposed for more efficient leader development is e-learning, that is, learning using an electronic or Internet-based platform of some kind. That can potentially be provided at a per person cost that is less than a traditional five-day classroom-based feedback-intensive program, and it might typically also be faster in terms of time to complete. But whether it is "better" is likely the key question to answer. If better means both faster and cheaper, then one might imagine that putting all the content of a program like CCL's Leadership Development Program on DVD or the Internet for individual viewing of content modules might satisfy all three demands. But if by "better" one means "with more impact" or "with stronger potential for individual development," then this faster and cheaper alternative will not suffice; it would likely be missing the interactive and interpersonal elements that characterize leader and leadership development work. A key point, of course, has to do with what a program or platform is designed to achieve and what the needs of the target audience will require.

There are also some exciting new technology-related experiments on the horizon. One of the most interesting for us is the piloting we (and probably others) are doing with leader development programs in Second Life, the Internet-based three-dimensional virtual world. This platform may allow individuals to participate fully with others in a leader development program without leaving their home or office. Individuals use avatars (virtual representations of themselves) in Second Life classrooms and could potentially receive feedback on their assessments, participate in experiential exercises, receive confidential feedback in a one-on-one session with a trained coach, and accomplish their

end-of-program goal setting all in a virtual world, while being an active but remote participant. As businesses continue to look for ways to reduce both expenses and the environmental impact of office space and travel, more and more people will be working from home offices and conducting business at a distance. When perfected, platforms such as Second Life can address these needs for savings and convenience for leader development. We will be conducting a study of the impact of using these methods in the coming year, so look forward to learning much more about this new technology and disseminating that knowledge to others.

We also believe the answer to the "cheaper, faster, better" question may lie in better application of what we already know. We have made the point often in this book that if development is understood only as participation in programs with discrete beginning and end points, then it will necessarily be limited. That might seem expensive relative to the length of what is often seen as the developmental experience (a week-long program, for example), and it might seem slow given the time it takes for individuals to master new skills or change behavior. We hope we have also been clear that we support an increased focus on integrating work and learning as a useful approach to more effective and efficient leadership development. If individuals were more intentional about learning from their everyday experiences, if ongoing individual experiences were enriched with needed assessment, challenge, and support, and if organizational beliefs and practices supported individual and collective learning, then the return on investment of any single developmental experience would be greatly enhanced and individuals and groups would be learning continuously. And those may be the real desires behind the "cheaper, faster, better" question.

At CCL, we work hard to turn ideas into action and action into ideas. This means we try to make sure that what we learn in our research expands our understanding of leadership and affects our practice of leader and leadership development. Then we make sure that what we learn in our practice affects the research questions we ask. Although this is the end of this third edition of the *Handbook of Leadership Development,* the questions we have posed are the beginning of new learning for us and the seeds of our future.

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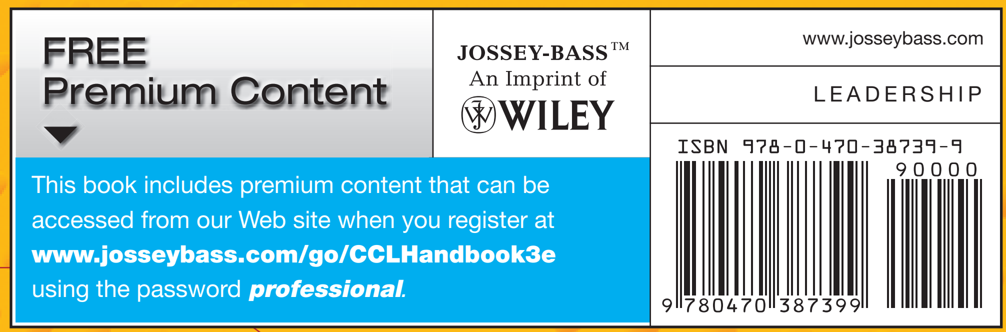

ISBN 978-0-470-38739-9
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