

# **Leadership Development through a Constructive Developmental Lens**

A study of leadership development in a financial services  
organisation

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**DUBLIN CITY UNIVERSITY**  
**Business School**

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Constructive Developmental Lens**

A study of leadership development in a financial services  
organisation

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Degree of Doctor of Philosophy

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A thesis presented to Dublin City University for the Degree of  
Doctor of Philosophy

## DECLARATION

I hereby certify that this material, which I now submit for assessment on the programme of study leading to the award of for the Doctor of Philosophy is entirely my own work, that I have exercised reasonable care to ensure that the work is original, and does not to the best of my knowledge breach any law of copyright, and has not been taken from the work of others save and to the extent that such work has been cited and acknowledged within the text of my work.

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## Research Ethics Declaration

The information contained here is, to the best of my knowledge and belief, accurate. I have read the University's current research ethics guidelines, and accept responsibility for the conduct of the procedures set out in the attached application in accordance with these guidelines, the University's policy on conflict of interest and any other condition laid down by the Dublin City University Research Ethics Committee or its Sub-Committees. I have attempted to identify all the risks related to this research, that may arise in conducting this research, and acknowledge my obligations and the rights of the participants.

I have declared any affiliation or financial interest in this research or its outcomes or any other circumstances which might present a perceived, potential or actual conflict of interest, in accordance with Dublin City University policy on Conflicts of Interest.

Signature: \_\_\_\_\_

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## ABSTRACT

Leadership development has become increasingly important in both academia and the corporate world in recent years (Day et al, 2014). The leadership development literature, while expanding, is limited in its provision of a systemic approach to individual leadership development. Evidence from research conducted on leadership development via coaching, mentoring, on the job experience and 360 degree feedback suggest that leadership development can be supported by deploying these practices in a programme for leadership development (Ladegard and Gjerde, 2014; Yip and Wilson, 2010). Kegan and Lahey (2010) contend that the underlying 'operating system' used for effective leadership development has not been addressed in recent leadership development approaches. This has led to calls for research to connect the leadership development and adult development literatures (e.g. Dinh et al, 2014).

This study explores the leadership development of 20 Senior Managers participating in a leadership development programme within a financial services setting during the financial crisis within Ireland. The purpose of the programme was to develop authentic leadership among participants and the study compares the participants' development with the development of a Control Group of 10 Senior Managers who did not participate in the programme. Leadership development is measured through a constructive developmental lens using the Subject Object Interview (SOI) methodology (Kegan and Lahey, 1984) to assess development.

This study shows that the application of Constructive Developmental Theory (CDT) to the field of leadership development research provides a meaningful lens through which the authentic development of individual leaders can be better understood. From a practice perspective, its findings suggest that leadership development interventions should be tailored to suit the developmental stage of participants at the outset of any intervention. These findings highlight that focusing on 'development' as the criterion of interest rather than leader performance can be beneficial to demonstrate the impact of leadership development programmes.

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# Chapter 1. INTRODUCTION

## 1.1 The Importance of Leadership in Organisations

Leadership is a subject that has attracted much interest and debate over many decades and has produced thousands of empirical and conceptual studies (Dinh et al, 2014; Petrie, 2014; Storey, 2011; Avolio, 2010; Bass, 2008; DeVries, 2006; Yukl, 2002). Images of leaders inspiring followers and achieving exceptional goals have been held up as aspirational in all walks of life including politics, sports, religion and business (Friedman, 2014). Several scholars (e.g. Northouse, 2015; Yukl, 2011; Mahsud, Yukl, and Prussia, 2011) have noted that effective leadership is generally associated with the success of all sizes and types of firms. Bennis (1959, p. 259) observed that 'always, it seems the concept of leadership eludes us or turns up in another form to taunt us again with its slipperiness and complexity. So we have invented an endless proliferation of terms to deal with it...and still the concept is not sufficiently defined'. Although Bennis made that observation almost sixty years ago, it is as relevant today as it was then.

The allure of leadership and how to develop it has been a challenge for businesses for many years and that challenge continues. Key questions remain in the literature about how to develop leadership in organisations (Day et al, 2014) and this includes specific questions such as: how do leaders develop and what are the trajectories of such development; what are the best processes and triggers for the development of leaders; and how can organisations measure leadership development over time? These questions form the key focus of this study, which sets out to examine whether a cohort of leaders participating in a leadership development programme within a financial services organisation based in Ireland develop over time. Rooke and Torbert (2005) suggest that 'the leader's voyage of development is not an easy one. Some people change little in their lifetimes; some change substantially' (p. 161). This

voyage of leadership development is worthy of investigation given the investment organisations make in leadership development. Almost a decade ago, Fegley (2006) argued that the main problem for HR professionals was in identifying and developing the leadership talent needed for the growth and expansion of their organisations. This challenge still exists today. For example, a recent study conducted by the Center for Creative Leadership (CCL) among 2,239 leaders from 24 organisations in three countries, reports that crucial leadership skills in organizations are, in fact, insufficient for meeting current and future needs (Brittain Leslie, 2015). As a result of this talent shortage, combined with corporate failures, there has been significant investment in leadership development over the last decade (Brittain Leslie, 2015; Day et al, 2014; Avolio et al, 2010). Recent evidence from Bersin by Deloitte, for example, estimates that spending on learning and development during 2013 had increased by 15% from the previous year, reaching over \$70 billion in the US and \$130 billion worldwide. The study notes that an estimated 35% of this revenue was invested in leadership development, signalling it as *the* top priority within organisations (O'Leonard and Loew, 2014). This extensive investment seems to be rather 'an act of faith' (Mabey and Ramirez, 2005, p.167) with organisations understanding the need to develop skilful leaders without having sufficient frameworks or models to guide them.

## 1.2 The Objective of the Study

The objective of the research was to investigate whether authentic leadership development could be developed for senior managers participating in a leadership development programme. Authentic leadership was the underlying theory utilised in the development of the leadership programme which was considered appropriate in the context of the banking crisis and the lack of trust in leadership within the Irish banking system (Clarke and Hardiman, 2012). The study sought to integrate Constructive Developmental Theory with authentic leadership and leadership

development theory. Therefore, developmental level was assessed using Kegan's (1980, 1984) constructive developmental stages. Development (if any) was compared to that of a Control Group of senior managers who did not participate in the leadership development programme. The research addressed the following questions:

**Question 1:**

- Will individuals participating in a leadership development programme develop from one transition point to another transition point, as measured by Kegan's constructive developmental stages?

**Question 2:**

- Which elements (if any) of the leadership development programme will contribute to a participant's development?

**Question 3:**

- Will a more advanced constructive developmental level, as measured by Kegan's constructive developmental stages, provide evidence of the development of authentic leadership?

To answer these questions, Kegan's (1980, 1982) constructive developmental stages were measured using the Subject Object Interview (SOI) research method which will be described later in the chapter following an outline of the key theoretical foundations of the research.

## 1.3 Theoretical Foundations of the Research

### 1.3.1 Authentic Leadership Theory

Authentic leadership is defined by Luthans and Avolio (2003, p. 243) as 'a process that draws from both positive psychological capacities and a highly developed organisational context, which results in both greater self-awareness and self-regulated positive behaviors on the part of leaders and associates, fostering positive self-development'. In light of corporate scandals in the business world (e.g. Volkswagen, Lehman brothers, Enron, WorldCom), the concept of authenticity and authentic leadership has gained momentum (Diddams and Chang, 2012). Authentic leadership theory has been advocated by both academics and practitioners and brings together the established concept of authenticity, together with positive organisational behaviour theory, ethics and psychology (Banks et al, 2016; Cianci, et al, 2014). Four components of authentic leadership have also been outlined (Leroy et al, 2015; Leroy et al, 2012; Rego et al, 2012; Avolio et al, 2010). These are: (1) Self-awareness, which is an understanding of one's strengths and weaknesses which encapsulate the multi-faceted nature of the self. This includes developing an insight into the self, through exposure to others and being aware of one's impact on others; (2) An internalised moral perspective, which is described as self-regulation that is based on internalised moral values as opposed to those imposed by others. This is expressed in ethical decision making and ethical behaviour; (3) balanced processing of information, which involves the objective evaluation of information before making a decision, including encouraging others to question or challenge one's values; and (4) Relational transparency, which is being true to one's values and expressing this to others. This involves the open sharing of information about one's thoughts and feelings. Empirical evidence linking these components of authentic leadership to positive work outcomes has been found (e.g. Gill and Caza, 2015; Rego et al, 2012; Hassan and Ahmed, 2011; Avolio et al, 2005; Ilies et al, 2005).

Several gaps in the literature have been identified (e.g. Banks, 2016; Cianci et al, 2014; Gardner et al, 2011). Cianci (2014) noted that authentic leadership theory is in the early stages of development and emphasised that there was a general lack of identified antecedents that could predict the emergence of authentic leadership. They joined several scholars (e.g. Leroy et al, 2012; Gardner et al, 2011, Avolio, 2010) in calling for greater emphasis to be placed on the development of authentic leaders. Noting that authentic leadership theory is still in its infancy, Cooper et al (2005) have emphasised that 'scholars in this area need to give careful attention to four critical issues [including] ascertaining whether authentic leadership can be taught' (p. 477). Avolio (2010) stated that attention to the processes whereby specific components of authentic leadership could be enhanced would have important implications for leader and follower development. Baron and Parent (2015, p. 38) note that their study is the first to explore the 'black box' of authentic leadership development which they define as 'the process individuals go through during their development and the elements of training programmes that foster that development'. Thus, further research focusing on the trigger events contributing to authentic leadership development will contribute to authentic leadership theory enhancement.

Several studies have suggested that leadership development programmes would be more effective if they took place over a longer period of time and included seminars, planned trigger events and individual coaching (Kets de Vries and Korotov, 2007; Cooper et al., 2005). Gardner et al (2011) also repeat Avolio's (2010) call for greater attention to the design and implementation of intervention strategies intended to foster the development of authentic leaders. They also identify the need for more systematic evaluations of the range of commercial and educational programmes currently offered that promise to enhance the development of leaders, including their authenticity, integrity, and effectiveness. In summary, very few studies have empirically evaluated leadership development using longitudinal methodologies and none have examined the ability of training programmes to foster the development of authentic leadership

(Baron, 2016; Gardner et al., 2011). This study answers the calls for research by examining if and how authentic leadership development occurs through a leadership development programme.

In conclusion, authentic leaders serve as role models for acceptable behaviour in an organisation and therefore add value beyond their individual contribution (Cianci et al, 2014). Cianci et al (2014, p.581) found that 'good leadership significantly inhibited individuals from making unethical decisions in the face of temptation, whereas followers of neutral or less authentic were more likely to succumb to temptation'. Therefore, authentic leadership is important to organisations, particularly in a sector which has been criticised for its unethical behaviour (Clarke and Hardiman, 2012). This behaviour was considered to be a key contributor to the financial services crisis in Ireland. Thus, investment in the development of authentic leadership in a financial services organisation is important not only at an individual and organisational level but also more broadly at a societal level.

### 1.3.2 Leadership Development

The theory and scientific research of leadership development has emerged in the last 10-15 years according to Day et al (2014). They note that this research has augmented the long standing practitioner interest in the topic but that there is much left to be learned about the process of leadership development. They suggest that future research should focus on *development* as much as leadership to shed light on how individual leader development occurs. Empirical evidence suggests that leadership can be developed (Day et al, 2014; VanVelsor et al, 2010; Avolio et al, 2007) and a variety of leadership development practices have been deployed to develop leaders including coaching, mentoring, 360 degree feedback, and leadership competency development models (Day et al, 2014; Ladegard and Gjerde, 2014; Storey, 2011).

Crossan et al (2013) note that leadership development programmes focus on development at one particular level rather than tackling the importance of leadership as a skill required across levels. Crossan et al (2008) outlined a framework with which to gauge an individual's ability to master essential leadership processes at various levels: self, others, and the organisation. They note that leadership of self refers specifically to developing positive character strengths such as humility and open-mindedness, as well as the capability of self-awareness as a mechanism for continual learning. Crossan et al (2013) note that many leadership programmes include courses on managing people (aimed at the level of others and group) or leading change (aimed at the level of the organisation), but do not necessarily offer courses addressing leadership of self. In a similar vein, Day, Harrison and Halpin (2009) identify the need for research to focus on development as the criterion of interest, rather than leader performance. This study specifically addresses development at the individual level and measures development using adult development theory, specifically Constructive Developmental Theory (Kegan, 1980; 1994).

### 1.3.3 Constructive Development Theory

For many years, it was assumed that adults did not learn or develop in adulthood (Kegan, 1980). However, several adult development theorists have outlined various stage theories of adult development which describe and examine how adults change over the course of their lives (Kegan, 1980; Kohlberg, 1976; Loevinger, 1966; Torbert, 1994). Like leadership theory, there is no single theory that explains adult development. In each of these stage theories, development occurs with periods of equilibrium and balance that alternate with periods of instability and transition (Tennant and Pogson, 1995). These periods of instability and transition are transformation according to Kegan (1994) which is different to the development of a new skill or learning new information.

Constructive Developmental Theory asserts that individuals construct reality from their experiences (Kegan and Lahey, 1984). Kegan's (1980) theory looks at a single slice of what makes us human and measures mental complexity but does not assess areas such as intelligence, personality or morality (Berger, 2003). In order to assess mental complexity the role of meaning-making has been central to the measurement process (Helsing and Howell, 2014; Kegan and Lahey, 2009). Meaning-making is the ongoing cognitive and emotional process whereby a person creates a set of organising principles that serve as the basis for interpretations and actions (Schwandt, 2005; Argyris and Schön, 1978). Kegan (1982) uses two internal structures to define each constructive-developmental stage, which he refers to as the 'Subject' and the 'Object'. The Subject is the process through which individuals organise and understand their experience; it is the lens through which the world is viewed and the rule by which it is defined (Kegan, 1982). The Object is the content of the experience that is organised and understood by way of the Subject (Kegan, 1982). As individuals develop from one stage to the next, what was previously Subject becomes Object. Strang and Kuhnert (2009) provide an overview of Kegan's (1984) stages from the perspective of Subject Object relations as indicated in Table 1.1. The stages describe a journey that people are on throughout their lifetime, however, the majority of people (58%) in the population measured to date are not as far along as the self-authoring stage (Kegan and Lahey, 2009).

**Table 1.1 - Subject Object Relations in Constructive Developmental Theory (from Strang and Kuhnert, 2009)**

CD Stage/Leader Development Level (LDL)	Subject (organising process)	Object (content of experience)
<b>Stage 2</b> (Instrumental Mind)	Personal goals and agenda	Immediate needs and feelings
<b>Stage 3</b> (Socialised stage)	Interpersonal connections	Personal goals and agenda
<b>Stage 4</b> (Self-Authored Mind)	Personal standards and value system	Interpersonal connections
<b>Stage 5</b> (Self-Transformational Mind)	Openness and paradox	Personal standards and value system

The stages of development or mental complexity determine how we make sense of the world, and operate within it, in profoundly different ways (Kegan and Lahey, 2009). Several scholars (e.g. Day et al, 2014; Day, Harrison and Halpin, 2009; Strang and Kuhnert, 2009; McCauley et al, 2006) have advocated for the application of Kegan’s CDT with the leadership literature. Day, Harrison and Halpin (2009) express their surprise at how little integration there has been between the fields of leader development and CDT. They note some exceptions which they state provide only preliminary insights into how one could integrate adult development processes and leader development. Day, Harrison and Halpin (2009, p.32) outline that adult development theory and specifically CDT is relevant to leader development because ‘it generates knowledge about specific components of individual development (1) within-person commonalities in development, (2) between-person differences in development, and (3) within-person plasticity (malleability) in development. McCauley et al (2006) asserted that Kegan’s CDT could be used as a means of understanding and designing leader development practices but noted the lack of research into whether such leadership practices support development. Subsequently, Day et al (2014) provided a comprehensive review of the leader development literature and they too concluded that Kegan’s (1982, 1994) CDT should be used to understand what is

developed as a function of leadership development in a given context. A brief outline of Kegan's (1982) three stages of development relevant to this study is provided next.

### *Stage 3 (Socialised Stage)*

At the third stage of development, Berger (2003) notes that adults have internalised one or more systems of meaning (e.g. their family's values, a political or national ideology, and a professional or organisational culture). They are guided by these systems of meaning and are able to think abstractly, be self-reflective and be devoted to something greater than their own needs. However, their interactions with others and behaviour will be strongly influenced by what they think others want to see and hear (Kegan and Lahey, 2009).

### *Stage 4 (Self-Authoring Stage)*

Adults at the fourth stage of development have achieved all that those at the third stage of development have achieved but in addition they have created a self that is the author of its connections to the ideologies (Berger, 2003). They are able to examine and review the varying ideologies and can mediate among them using internal sets of rules. Consciously or unconsciously they have a direction, an agenda or a strategy for interacting and behaving with others that is based on their own inner system (Kegan and Lahey, 2009).

### *Stage 5 (Self-Transforming Stage)*

Adults at the fifth stage have achieved all that those at the fourth stage have, but in addition they have learned the limits of their own inner system. They are cautious about being wedded to any one stance or agenda and when communicating with others they make space for modification of their agenda. At this stage individuals accept contradiction and opposites and can deal more ably with paradox and conflict.

McCauley et al (2006, p.650) state that 'because Constructive Developmental Theory deals with an aspect of leadership that may be taken as basic – the generation and development of meaning for individuals and social systems – Constructive Developmental Theory has the potential to act as an integrative framework in the field'. They suggest that CDT theorists should explore how CDT adds to our understanding of other leadership phenomena in which the leader's meaning-making structure is hypothesised to play an important role. Leadership theorists (e.g. Petrie, 2014; Day et al, 2014; McCauley et al, 2006) have looked to CDT as a way to better understand how leaders think, take action, and make-meaning out of their experience of leadership. In addition, McCauley et al (2006) state that researchers should more explicitly link their work to relevant and emerging streams of leadership research. With the exception of Eigel and Kuhnert's (2005) review of CDT and authentic leadership theory, to the best of the researcher's knowledge, this study is the first study that brings CDT together with authentic leadership and leadership development practices. Recently, Petrie (2014) identified meaning-making as a key aspect of leadership development. Since the field of CDT is becoming increasingly linked to leadership (Day et al, 2014; Strang and Kuhnert, 2009; McCauley et al, 2006; Cook-Greuter, 2004), it is one of the core theoretical frameworks for this study.

#### 1.4 The Research Methodology

A qualitative research design was adopted for this study. Bass (2008) states that much of what is currently understood about leadership has been developed primarily through quantitative, statistical approaches and there have been calls for the use of qualitative methods in leadership research (Klenke, 2014; Parry et al, 2014; Stentz et al, 2012). Parry et al (2014) identified several advantages of doing qualitative research on leadership including its flexibility to explore unexpected ideas and the ability to take context and social meaning into account. Bryman (2015) states that the interview is

probably the most widely employed method in qualitative research. The Subject Object Interview (SOI) was utilised in this study and is a research methodology developed by Kegan and Lahey (1984). The SOI is grounded in a constructivist paradigm, and more specifically Constructive Developmental Theory (CDT). As noted earlier, CDT asserts that individuals construct reality from their experiences (Kegan and Lahey, 1984) and while several people may participate in the same leadership development programme, their interpretation and meaning-making from the programme may vary. The SOI is designed specifically to generate data about how a person is making-meaning and the focus of an SOI is on structure (i.e. how individuals think about the world). Parry et al (2014) note that contemporary emergent approaches view leadership as a meaning-making process and state that these new theoretical lenses call for qualitative designs. Unlike more traditional interviews, the SOI does not focus on specific themes and motives.

In addition to adopting a qualitative approach using the Subject Object interview (SOI), the research design was also quasi-longitudinal research using two-waves of data. Taris and Kompier (2014) observe that despite the increase in longitudinal studies, to date the two-wave longitudinal design has continued to dominate research. For this study, the research was conducted over a two-year period during which time two consecutive leadership programmes of approximately 10 months in length were delivered. SOI data was collected at Time 1 in advance of the leadership development programme and again at Time 2 upon completion of the programme.

## 1.5 Context of the research

Before discussing the research questions it is worth noting the context within which the research was conducted. The research site is 'Best Bank', which is one of the leading providers of financial services in Ireland. Established in the early 1970's, it is part of a major European financial services group (one of the World's Top 50 Banks) and has

its Irish headquarters in Dublin. The leadership development programme took place at a time when there was a global financial crisis and significant change was taking place in the financial services industry both globally and within Ireland. The interviews took place when there were some questions being raised regarding the ongoing viability of Best Bank in the Irish marketplace. Best Bank had several years of significant losses and was under pressure to turn the bank around to profitability against a backdrop of the severe economic depression in Ireland and significant strains in the global economy. The term VUCA (Volatility, Uncertainty, Complexity and Ambiguity) has been used to describe the financial crisis (Kissinger, 2012) and this was applicable to Best Bank during the financial crisis. Pressure at an international and national level resulted in Best Bank reducing its headcount and implementing a number of new initiatives to turn the bank around. The senior management team in the organisation were under pressure to develop even more new initiatives to assist the bank in returning to profitability and to significantly reduce the mortgage arrears portfolio the bank. The mortgage arrears situation was a hallmark of the crisis in the Irish banking system at the time and to a lesser degree remains to be an issue in the present day. Clarke and Hardiman (2012, p.1) note that 'Ireland has had one of the most catastrophic experiences of financial services in the developed world, in the wake of the global financial crisis in 2008'. Ireland's Finance Minister, Michael Noonan commenting on the banking crisis (Department of Finance, 2013), stated that 'the Irish banking system failed the Irish people and the mismanagement of the banks and the crisis has cost the Irish taxpayer over €62 billion'. This commentary coincided with widespread media condemnation of Irish banks which reflected the public perception of the banking sector at that time.

Best Bank had not invested in leadership development for a number of years given the difficult economic circumstances, redundancies in the organisation in 2008 and 2009 and to changes in leadership at the top levels of the organisation. This was accompanied by high levels of stress throughout the organisation and a culture of

working longer hours as business demands necessitated which was highlighted in the results of an employee engagement survey. The survey indicated that a more fearful culture had developed during the crisis where people were afraid to make mistakes and that a blame culture had evolved. There was concern about job security and a view that Executives were using a 'stick' rather than a 'carrot' to achieve organisational goals.

A leadership competency framework existed in the organisation and this was utilised in the design of the leadership programme (see Table 1.2). There were a total of 20 senior managers in Best Bank participating in the leadership development programme with two cohorts of 10 participants. A control group comprising 10 senior managers was also included in the study in order to compare the developmental transitions, if any, between participants and non-participants in the programme. Table 1.2 presents an overview of the modules of the leadership development programme in Best Bank, the authentic leadership construct that each module related to and the competencies that were targeted for development via that module.

**Table 1.2 - Link between LDP, Authentic Leadership constructs and Competencies**

Best Bank Leadership Development Module	Authentic Leadership Construct	Competency to be Developed
Session 1 – Leading Yourself (2 days):  Theme: 'Effective leaders have an effective mind set'. The authentic leader must first know, understand, and be able to lead him / herself before they can lead others.	Self-Awareness & Internalised Moral Perspective	Thinking and operating strategically and managing change.
Session 2 – Leading Tasks (1 day):  Theme: 'A truly effective leader can manage people and tasks equally adroitly'. This session explored the principles of having good vision and	Balanced Processing of Information	Managing Change

Best Bank Leadership Development Module	Authentic Leadership Construct	Competency to be Developed
goal setting, while also equipping participants with the tools to make effective decisions and manage effective meetings.		
<p>Session 3 – Leading Others (2 days):</p> <p>Theme: ‘One to One engagement’.</p> <p>Having identified and understood how participants could lead more authentically, the programme examined those around them and focused on inspiring, motivating, and leading the thinking and behaviour of both their subordinates and their peers.</p>	Relational Transparency	Managing people including coaching and delegating; developing networking skills
<p>Session 4 – Team Synergy (1 day):</p> <p>Theme: ‘If nobody is perfect then a team can be’. During this workshop the participants were provided with the tools to build high performance teams, capable of delivering more than just the contributions of individual, thereby cultivating a culture of synergy.</p>	Relational Transparency	Managing people including coaching and delegating; and networking
<p>Session 5 – Innovation in the business (1 day):</p> <p>Theme: ‘Tapping into a team’s latent creativity’. During this session participants developed the skills necessary to manage innovation at both operational and strategic levels and were provided with the tools to develop their team’s creativity.</p>	N/A	Innovating and continuously improving

## 1.6 Findings

This study found that: (i) leadership development occurred after participation in a leadership development programme; (ii) the triggers most relevant to development were dependent on the developmental stage of a participant at the outset of the leadership development programme; and (iii) the emergence of authentic leadership development was evident. Using development as the criterion of interest (rather than leader performance) was beneficial as it demonstrated the positive impact of Best Bank's leadership development programme on 8 out of 10 participants in each cohort in comparison to the more limited development experienced by the Control Group (i.e. 3 out of 10 participants). This study identified the adult development stage of participants and their transitions in development upon completion of the leadership development programme. It highlighted how participants at the socialised stage of development and the self-authoring stage of development perceived and discussed their growth and development in different ways. Helsing and Howell (2014) suggest that knowing an individual's developmental stage offers a means to predict the ways that they are likely to be well equipped or challenged by their roles and this study would lend support to that argument.

A greater focus on the development of authentic leadership has been called for by several scholars (e.g. Banks et al, 2016; Cianci et al, 2014; Leroy et al, 2012; Gardner et al, 2011). This study suggests that authentic leadership can be developed when linked to constructive developmental stage with an intervention designed to enhance current meaning-making capacity. Processes of development such as greater self-awareness, coaching, networks and enhancing identity development were noted as contributing to more advanced stages of meaning-making.

## 1.7 Contributions of the Research

There are several contributions of the research. First, the research indicates that focusing on development as the criterion of interest in assessing whether participants of a leadership development programme developed, proved insightful when contrasted with the prevailing criterion of interest (i.e. leader performance) (Day et al, 2014). Second, McCauley et al (2006, p. 642) assert that 'despite interest in using Kegan's constructive developmental framework to better understand and design leadership development interventions there has been no research that examines these interventions that support development or whether these designs lead to increase development'. McCauley's (2006) assertion was examined in this study and triggers of development pertinent to Kegan's stages of constructive development were identified thus adding to our understanding of how leadership programmes could be designed.

The lack of longitudinal research in leadership research has been highlighted (e.g. Klenke, 2015; Dinh et al, 2014). This study's method and context represent a third contribution to knowledge as the method was quasi-longitudinal and qualitative in nature counteracting the dominant use of positivist research in leadership studies. Fourth, a practical contribution includes the 'NO LIMITS' leadership framework of development which is tailored to suit the constructive developmental stage of participants at the outset of a leadership development programme. Fifth, the research contributed to our understanding of authentic leadership development and outlined how the sub-constructs of authentic leadership were developed. Finally, an important, if preliminary, finding was the type of change participant's noted in relation to their performance (e.g. improvement in achieving organisational goals, better communication with team members and senior executives, more confident in resolving conflict). In summary, the contributions highlight that the synthesis of CDT with specific leadership development processes and authentic leadership theory could have significant implications for leadership development in practice.

## 1.8 Structure of the Thesis

The thesis contains eight chapters. The current chapter, Chapter one, describes the objectives and context of the study. It notes the significant investment by organisations in leadership development and briefly outlines the key theories relevant to the research including authentic leadership theory and Constructive Developmental Theory. It also describes the research methodology and the findings of the study.

Chapter two contains a review of the literature on leadership theories moving from traditional theories to more contemporary theories. It provides definitions of key terms and a description of theoretical frameworks. It also describes how leadership has generally been measured in the empirical literature. The chapter also identifies some gaps in the literature around what is known about how leadership occurs in organisations.

Chapter three covers a review of the literature on leadership development and highlights the varying definitions of leadership before distinguishing leader development and leadership development. A review of the effectiveness of leadership development is provided followed by a review and critique of a variety of processes and approaches to leadership development. The chapter also highlights how leadership development has evolved in academic research and identifies areas for further research.

Chapter four comprises of a high level overview of learning and adult development. Constructivism is then discussed before reviewing Kegan's (1980) Constructive Development Theory (CDT). A review of the literature on CDT is provided and an overview of empirical research outlines where CDT and leadership development have intersected. Gaps in the literature and calls for integrating leadership development and CDT are emphasised.

Chapter five outlines the research philosophy underpinning this study. It describes, in detail, the research design of the study, which consists of a two-wave

quasi longitudinal design. The process of data collection via the Subject Object Interview (SOI) and an outline of the data analysis is described. An overview of the composition of the study's participants is presented.

Chapter six presents the results and findings of the study. It identifies, through Subject Object Interview (SOI) scoring, the development or lack of development of the participants in the study. It identifies the fundamental topics that emerged as the most significant from the fieldwork and categorises these into key development triggers that enabled leadership development in Best Bank.

Chapter seven reviews the relevant literature to situate the key elements of the study in a discussion with the appropriate theory. Within this chapter, a leadership development framework is developed which fuses the practice-based insights generated by the study with the relevant theory. The objective of the framework is to improve future leadership development programmes, which may be adopted within Best Bank, but may also be extended to other similar organisations.

Chapter eight summarises the overall contribution this study makes to existing literature in this area and it positions this research in terms of its relevance and importance to practice. It concludes by noting the study's limitations and making recommendations for future research.

## Chapter 2. THE EVOLUTION OF LEADERSHIP THEORIES

### 2.1 Introduction

This chapter provides an overview of some of the foremost leadership theories. It begins with an outline of some of the key differences between leadership and management and then provides a summary of the varying definitions of leadership. This is followed by an examination of leadership effectiveness. An overview of traditional leadership theories is provided and a review of more recent leadership theories such as transformational and transactional leadership is provided. Authentic leadership theory is then discussed and the chapter concludes with a brief summary.

### 2.2 The Nature of Leadership

There has been considerable research conducted on leadership over many years and a sustained interest remains in the concept (Day et al, 2014; Storey, 2011; Avolio, Walumbwa and Weber, 2009; Northouse, 2004; Bass, 1990; Yukl, 1989). This interest has continued in an effort to understand what leadership is, how it differs from management, how it should be defined, how it manifests itself and how it can be developed and nurtured. Despite the long tradition of leadership research in the literature, the concept remains quite poorly understood (Dinh et al, 2014; Yukl, 2010; Northouse, 2007; Klenke, 1996; Bass, 1990; Bass, 1981). Stogdill (1974, p. 7) points out that 'there are almost as many different definitions of leadership as there are persons who have attempted to define the concept'. Almost 25 years later, Yukl (1998, p.5) describes leadership as 'complex multi-faceted phenomena' concluding that the subject is unsuited to a single definition. More recently, Hackman (2010, p. 107) suggests that leadership as a concept 'is little more than a semantic inkblot, an ambiguous word onto which people project their personal fantasies, hopes and anxieties about what it takes to make a difference'. Kellerman (2012) estimates that there are 1400 definitions of leadership, along with 44 theories about its nature, while

Dinh et al (2014) identifies 66 different leadership theory domains. These perspectives highlight the complexities involved in providing a comprehensive, agreed upon definition of leadership. In an attempt to bring sharper clarity to the issue, researchers have tried to separate the complementary concepts of management and leadership to allow greater focus on the latter. Distinctions between leadership and management have been outlined by a number of scholars (House and Aditya, 1997; Bennis and Nanus, 1985; Zaleznik, 1977). These are described in the following section.

### 2.2.1 Leadership versus Management

A number of distinctions have been made between leadership and management (Kotter, 2008; Bennis and Nanus, 1985; Zaleznik, 1977). Most of these definitions suggest that management is more concerned with maintaining the status quo in an organisation, whereas leadership is about creating change (Lunenberg, 2011; Zaleznik, 1977). Lunenberg (2011) and Zaleznik (1977) assert that managers and leaders differ fundamentally in their world views, which take into account their attitudes to goals, their conceptions of work, their relations with others and their sense of self. Bennis and Nanus (1985) differentiate managers from leaders and argue that 'managers are people who do things right. Leaders are people who do the right things' (p. 21). Rost (1998) differentiates between managers and leaders on the basis of: (1) their ability to have authority over others or their ability to influence others; (2) the terminology used to differentiate the relationships between managers and subordinates and between leaders and followers; and (3) whether the individual is merely transacting goods or services in a relationship (managers) or influencing real change that reflects mutual purposes (leaders).

Kotter (2008) argues that leadership and management are two distinct, yet complementary systems of action in organisations. Specifically, he states that leadership is about coping with change, whereas management is about coping with

complexity (Kotter, 2008). House and Aditya (1997) also differentiate between the *processes* of management and leadership arguing that leaders provide the vision and strategy, which managers then implement. They also suggest, however, that managers can be leaders and that leaders often perform management functions. Yukl (1994) similarly notes that while leadership and management might involve separate processes; this does not necessarily mean that these processes involve separate people. He points to the failure of empirical research to support the mutual exclusivity of leadership and management (Yukl, 2010), and as a result uses the terms manager and leadership interchangeably. McMaster (1996, p. 74) makes a similar observation that 'no one person can hope to be unfailingly competent and omniscient' given the complexity of the world that leaders operate in and the advances in technology and knowledge that continue at a significant pace. Spillane et al (2004, p. 5) argue that leadership is 'stretched over the social and situational contexts' of the organisation. This is consistent with Gibb's (1954, cited in Gronn 2000, p. 324) much earlier observation that 'leadership is probably best conceived as a group quality, as a set of functions which must be carried out by the group'.

Taking into account these varying perspectives, it is perhaps too simplistic to view the distinction between management and leadership in hierarchical terms and, consistent with Yukl's (2010) approach, the terms manager and leader will be used interchangeably for the purposes of this research. Table 2.1 provides a summary of the differences between leadership and management.

**Table 2.1 - Summary of Leadership versus Management**

Category	Leadership	Management	Source
World view	Advocate change and new approaches	Advocate stability and status quo	Lunenberg (2011; Zalzenick, 1977)
In ambiguous contexts	Leaders do the right thing	Managers do things right	Bennis (2007)
Internal coping mechanisms	Cope with change	Cope with complexity	Kotter (2008)
Key processes	Create and articulate vision and strategy	Plan and implement vision and strategy	House and Aditya (1997)
Relationship with others	Empower, influence and trust	Transact, control and use authority	Rost (1998); House and Aditya (1997); Kotter (2008);

### 2.2.2 The varying definitions of leadership

Over the last 40 years, definitions have varied by focusing on the traits and personality of leaders (Piccolo et al, 2012; Judge et al 2002; Hogan et al 1997; Kirkpatrick, and Locke, 1991; Lord, deVader and Alliger, 1986), leadership behaviours (DeRue et al, 2011; Northouse, 2004; Bass, 1990), leadership processes (Yukl, 2010; Chemers, 1997; Drath and Palus, 1994), the relationship between leaders and followers (Graen and Uhl Bien, 1995), or on the situation of the leader at a point in time (Vroom and Jago, 2007; House, 1976; Fiedler, 1966). In more recent times, definitions of leadership have focused on the idea of people working together to achieve their full

potential (Liden et al, 2014; Kaplan, 2008). Table 2.2 provides a sample of leadership definitions which highlights the diversity in defining leadership.

**Table 2.2 - Sample of leadership definitions**

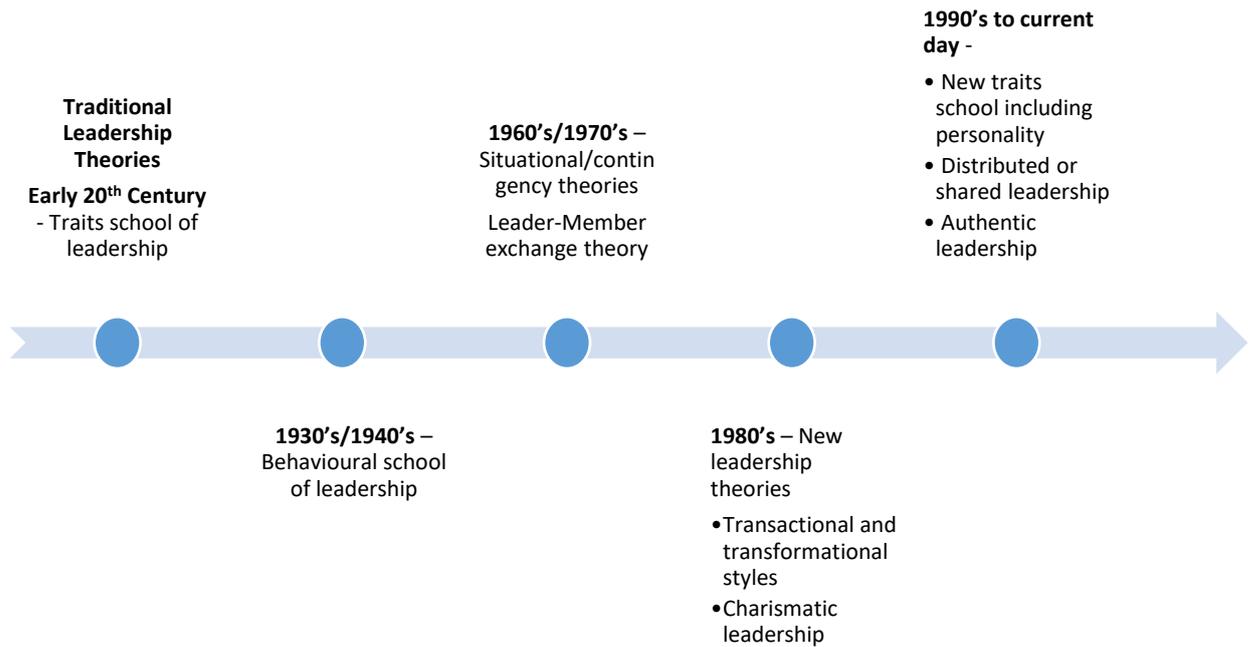
Source	Definition
<b>Barnard (1968, p. 110)</b>	'Leadership is the creation of a common awareness of and belief in the organisation's purpose, without which there would be insufficient effort to ensure the organization's survival'.
<b>Bass (1990, p.19-20)</b>	Leadership is the 'interaction between two or more members of a group that often involves structuring or restructuring of the situation and the perceptions and expectations of the members...Leadership occurs when one group member modifies the motivation or competencies of others in the group'.
<b>Burns (1978, p. 18)</b>	'Leadership over human beings is exercised when persons with certain motives and purposes mobilize, in competition or conflict with others, institutional, political, psychological, and other resources so as to arouse, engage, and satisfy the motives of followers'.
<b>Chemers (1997, p. 1)</b>	Leadership is 'a process of social influence in which one person is able to enlist the aid and support of others in the accomplishment of some task'.
<b>Drath and Palus (1994, p. 4)</b>	'Leadership is the process of making sense of what people are doing together so that people will understand and be committed'.
<b>Jacobs and Jacques (1991, p.21)</b>	'Leadership is a process of giving purpose (meaningful direction) to collective effort, and causing willing effort to be expended to achieve purpose'.
<b>Northouse (2004, p. 3)</b>	Leadership is 'a process whereby an individual influences a group of individuals to achieve a common goal'.
<b>Rost (1991, p. 102)</b>	'Leadership is an influence relationship among leaders and followers who intend real changes that reflect their mutual purpose'.
<b>Senge (1999, p. 16)</b>	Leadership is 'the capacity of a human community to shape its future, and specifically to sustain the significant processes of change required to do so'.
<b>Vroom and Yago (2007 p.18)</b>	Leadership is 'a process of motivating people to work together to accomplish great things'.
<b>Yukl (2010, p. 8)</b>	'Leadership is the process of influencing others to understand and agree about what needs to be done and how to do it, and the process of facilitating individual and collective efforts to accomplish shared objectives'.

Despite the numerous definitions of leadership, several scholars (e.g. Vroom and Jago, 2007; Yukl, 1989) argue that they have little in common with the exception that most describe a social process that involves influencing others. Barker (1997, p.344) extends this view, stating that 'virtually every definition of leadership encountered in both scholarly and practitioner oriented writings...focuses on the knowledge, skills, abilities, and traits of the leaders which are presumed to be the most successful in getting followers to do what the leaders want them to do'. In addition, and in keeping with its original ideation, most definitions suggest that the purpose of leadership is to infuse meaning and purpose into people's lives (Podolny, Khurana and Bersharov, 2010; Drath and Palus, 1994). Yukl (1989) further states that definitions vary based on whether they focus on traits, behaviours, follower perceptions, role relationships, and whether one person holds the leadership role within a group setting or whether the leadership role is shared between the group's members. For the purposes of this research leadership will be defined as 'the process of influencing others to understand and agree about what needs to be done and how to do it, and the process of facilitating individual and collective efforts to accomplish shared objectives' (Yukl, 2010, p.8). This definition includes the concept of leadership as a process where there is agreement between leader and follower about their purpose as well as the notion of individual and collective accomplishment which appears to be a key characteristic of much of the recent literature on leadership (Day et al, 2014; Dinh et al, 2014). Based on the varying definitions, other research considers how certain leadership theories such as trait theories, behavioural theory and situational/contingency theories are linked to leadership effectiveness. These are commonly referred to as traditional leadership theories (Northouse, 2015) and will be outlined briefly in the next section of the chapter.

### 2.3 Traditional leadership theories

Despite the plethora of leadership definitions and debates about its nature, leadership theory has evolved considerably over the last century (Yukl, 2010; Bass, 1999). House and Aditya (1997, p.409) state that ‘the development of knowledge concerning leadership phenomena has truly been cumulative’ and that ‘much is known about leadership since its systematic study from the 1930’s onwards’. Despite this progress, however, they note that there is still much to be learned. Figure 2.1 provides an overview of the timeline of the development of the various leadership theories. Traditional models describe leadership based on traits, behaviours and leader-follower relationships (Avolio, 2009; Bass, 1997; Yukl, 1989). This section provides an overview of the most dominant traditional theories: trait theories (Northouse, 2015; Judge et al, 2002; Yukl, 1998; Stogdill, 1948); behavioural theories (Gelfand, 2012; Quinn, 2005; Katz and Kahn, 1960; Lewin, Lippitt and White, 1939); and situational/contingency theories (Vroom and Jago, 2007; Hersey and Blanchard, 1979; House, 1976; Vroom and Yetton, 1973; Fiedler, 1966). It then summarises key criticisms of these theories in order to contextualise the focus of the present study.

**Figure 2.1- Timeline of Development of Leadership Theories**



### 2.3.1 Trait Theories

Early research on leadership was concerned with the search for the traits that distinguished leaders from the general population and has been explored in different ways by different disciplines e.g. anthropology, sociology, psychology, business (Northouse, 2015). Often referred to as 'Great Man' (sic) theories, Carlyle (1842 cited in Bass, 1990) identified the talents, skills, and physical characteristics of men who rose to power. Galton (1869 cited in Bass, 1990) examined leadership qualities in the families of powerful men. After showing that the numbers of eminent relatives dropped off when moving from first degree to second degree relatives, Galton concluded that leadership was inherited. In other words, 'leaders were born, not made'.

Following the Great Man theories, a period of research on traits ensued. Seminal studies by Stogdill (1948) and Mann (1959) summarised leadership traits. Based on his review, Stogdill (1948) concluded that five traits tended to differentiate leaders from followers: intelligence, dominance, self-confidence, level of energy and activity and task-relevant knowledge. Mann (1959) found that intelligence was the best

predictor of leadership, but warned that all observed positive relationships between traits and leadership were weak. However, Stogdill (1948) and Mann (1959) also noted that while some traits were common across a number of studies, the overall evidence suggested that leaders in one situation may not necessarily be leaders in other situations. Given the influence of Stogdill's (1948) and Mann's (1959) research, a consensus was reached that the search for a set of universal leadership traits was futile (Zaccaro, et al, 2003; House and Aditya, 1997). Several theorists (e.g. Hogan et al, 1994; Lillibridge and Williams, 1992) challenged this view and proposed that the utility of the trait approach in understanding leadership had been erroneously undervalued. This led Atwater and Yammarino (1993) to note that 'the study of personality in organizations has been dropped prematurely and should reemerge' (p. 646). As a consequence, there has been a reappearance of trait theory in an altered form in subsequent years with theoretical clarification and several new empirically supported traits suggested (Northouse, 2015; Zaccaro, Kemp and Bader, 2003; House and Aditya, 1997; Kirkpatrick and Locke, 1991, Bass, 1990). An important development in research on leadership traits is the focus on personality and empirical evidence has consistently shown that personality is related to leadership effectiveness (McCormack and Mellor, 2012; Zaccaro, 2007; Bono and Judge, 2004; Judge et al, 2002; Vickers, 1995; Hogan et al, 1994) and to leadership emergence (i.e. the factors associated with someone being perceived as leader like) (Cogliser et al, 2012; Colbert, 2012; Ng, Ang and Chan, 2008; Judge et al, 2002). Roberts and DeVecchio (2000) describe personality as aspects of an individual's thoughts and behaviours that are stable over time and relatively consistent across situations. Several studies have identified the Big Five personality traits as relevant to leadership effectiveness (Piccolo et al, 2012; Bono and Judge, 2004; Judge et al, 2004; Barrick and Mount, 1991; Bass, 1990). The Big Five traits of personality are commonly referred to as the Five-Factor model (Barrick and Mount, 1991) and these traits are: neuroticism, extraversion, openness to experience, agreeableness and conscientiousness.

While the trait stream of research has added much to the debate on leadership and has stimulated much empirical research and useful benchmarks for comparison of leader traits and practical assessment tools, there has been much criticism of trait theories (Zaccaro, 2007; Bass, 1990; Yukl, 1989). Zaccaro (2007) noted the main criticisms of trait theories as follows: (1) they focus on a small set of individual attributes such as the 'Big Five' personality traits, to the neglect of cognitive abilities, motives, values, social skills, expertise, and problem-solving skills; (2) they fail to consider patterns or integrations of multiple attributes; (3) they do not distinguish between those leader attributes that are generally not malleable over time and those that are shaped by, and bound to, situational influences; and (4) they do not consider how stable leader attributes account for the behavioral diversity necessary for effective leadership. Ng et al (2008) also stated that the process through which personality affects leader outcomes was unexplored and this resulted in a poor understanding of how distal traits translated into leader effectiveness. Overall, early trait theories were challenged by both behaviourist theories (i.e. relating to what leaders do) and contingency theories (i.e. relating to the situation the leader is in). The following section considers behavioural perspectives in more detail.

### 2.3.2 Behavioural Leadership Theories

This phase of research began during World War II and for a period spanning about 30 years, significant research was conducted in an attempt to describe and understand leadership behaviour (DeRue et al, 2011; Quinn, 2005; Bass, 1990; House and Aditya, 1997). The thrust of this approach was to focus on leader behaviour instead of personality traits, where different patterns of behaviour were grouped together and labelled as styles (Northouse, 2015). The approach differentiates leadership behaviours broadly into task and relationship behaviours. Two key streams of research were conducted during the 1930's and 1940's at Ohio State University and at the

University of Michigan. At Ohio State, researchers (Lewin, Lippitt and White, 1939) examined how leaders acted when they were leading a group or organisation. Lewin et al (1939) studied the effectiveness of what they called 'initiating structure' (task oriented) and 'consideration' (employee oriented) leadership behaviours. At the University of Michigan, researchers examined the impact of leaders' behaviour on the performance of teams (Katz and Kahn, 1960). Katz and Kahn (1960) outlined two leadership styles: production/job oriented and employee oriented. Using a sample of workers from the prudential insurance company, they found that employee turnover rates were lowest and employee satisfaction highest when leaders were rated high in consideration. Conversely, leaders who were rated low in employee orientation and high in task orientation were associated with higher grievance and turnover rates among their employees. They also found that subordinates' ratings of their leader's effectiveness depended not so much on the particular style of the leader as on the situation in which the style was used. A leader was seen as being either job-centered or employee-centered. In a summary of these studies, Likert (1961) noted that three types of leadership behaviour were good predictors of management effectiveness: task-oriented behaviour, relationship-orientated behaviour, and participative leadership. The Michigan studies complemented the Ohio State studies because they identified participative leadership as separate from the other relationship-orientated behaviours. Somech (2006, p.135) defines participative leadership as 'shared influence in decision making'. It is an approach to leadership which requires subordinates to take a certain amount of responsibility in the workplace (Sauer, 2011). Kim and Schachter (2015) note that studies have reported a number of different conclusions regarding the relationships between participative leadership and performance in various environments. Some scholars have found substantial positive effects of participative leadership styles on performance (Jackson, 1983; Peterson and Hillkirk, 1991). However, other studies have indicated the need to consider mechanisms (i.e. mediator variables) to better understand the relationship between participative leadership and task performance (e.g. Huang, Iun, Liu, and Gong, 2010;

Somech, 2005). Therefore, the existence of a direct relationship between participative leadership and organisational performance requires further examination (Kim and Schachter, 2015).

Fleishman and colleagues (1991) identified 65 distinct classifications of leader behaviour, while subsequent reviews further highlighted the proliferation of leader behaviour typologies and theories (DeRue et al, 2011; Avolio et al, 2003; Pearce et al, 2003). Several authors have attempted to define leadership in terms of a complex of behaviours or a portfolio of roles (Denison, 1993; Quinn, 1984; Yukl, 1981; Bass, 1981; Mintzberg, 1973; 1975). Transformational leadership (Bass, 1985; Burns, 1978) is often regarded as an improvement over prior behavioural approaches (e.g. Ohio State studies) in terms of scope and predictive validity (Piccolo et al, 2012; Yukl, 1999). Piccolo et al (2012) conducted three studies, one a meta-analysis of studies on behavioural leadership, a second study of 355 employees in two large organisations in the USA who reported directly to a manager enrolled in a leadership development programme and a third study which built on study two but included 1,269 participants from a German public administration office. Piccolo et al (2012) sought to understand the extent to which the transformational–transactional and Ohio State models of leadership overlapped, and examined the relative validities of these models on follower job satisfaction and leader effectiveness. They found that despite considerable redundancy in the measurement of leadership behaviours generally, transformational leadership behaviour was the most important factor in predicting leadership effectiveness and in predicting employees' job satisfaction.

In a further effort to integrate leadership theories, DeRue et al (2011) developed an integrative trait-behavioural model of leadership effectiveness and examined leader traits (gender, intelligence and personality) and behaviours (transformational-transactional, initiating structure-consideration) across four leadership effectiveness criteria (leader effectiveness, group performance, follower job satisfaction, and satisfaction with the leader). They conducted research on previously published meta-

analytic studies and found that leader behaviours tend to explain more variance in leadership effectiveness than leader traits. On the basis of these studies, it is indicated that leader behaviours are an important factor in leadership effectiveness.

Quinn (2005) suggests that many leadership books and corporate training programmes highlight the behaviour of successful leaders and then attempt to teach participants to emulate those behaviours. Despite this observation, there has been criticism of the behavioural theory of leadership, not least because the relationship between leader behaviour and effectiveness varies considerably from one study to another (Vroom and Jago, 2007). DeRue et al (2011) note that research within the leader behaviour paradigm often focuses on a single behavioural perspective which is problematic as studies often find similar effect sizes. While Judge, Piccolo, and Ilies (2004) called for more research into the behavioural approach, researchers had not responded in force (Dinh et al 2014). Overall there is a view that the behavioural approach focuses on the leader and his or her behaviour and fails to comprehensively consider and incorporate the situational context. This focus on situational/contingency theories of leadership will be reviewed next.

### 2.3.3 Situational/Contingency Theories

Situational leadership theories grew out of an attempt to explain the inconsistent findings regarding trait and behavioural theories. Situational or contingency theorists believe that the effectiveness of a particular leadership style depends on the situation at hand. A number of contingency leadership theories have dominated the literature. Four of the earliest theories are: (1) Fiedler's (1966) contingency model; (2) Vroom and Yetton's (1973) contingency model of leadership; (3) House's (1976) path-goal theory; and (4) Hersey and Blanchard's (1979) situational theory. Table 2.3 provides an overview of these theories.

**Table 2.3 - Overview of Situational Theories**

Author	Theory	Summary of theory
Fiedler (1966)	Contingency Model	Provides a framework for matching leadership style to the situation and looks at the favourableness of the environment for the leader.
Vroom and Yetton (1973)	Contingency Model of Leadership Behaviour	Identifies the decision procedures most likely to result in effective decisions in particular situations and the degree to which the leader involves his or her subordinates in the decision making process.
House (1976)	Path-Goal Theory	Emphasises the relationship between the leader's style and the characteristics of subordinates and the work setting. Focuses on the leader guiding workers to choose the best paths to reach their own goals, as well as the organisational goals.
Hersey and Blanchard (1979)	Situational leadership theory (SLT)	Suggests that effective leader behaviour depends on the readiness level (ability and willingness to complete a task) of a leader's followers. Emphasises the importance of accurately understanding various situations and how leader demands vary within them.

This perspective posits that the situational conditions under which leaders and followers interact with each other plays a crucial role in organisational success (Vroom and Jago, 2007). The literature has provided some evidence that leaders can change and adapt depending on the situation, which can play a critical role in leadership and organisational effectiveness (Ng et al, 2008; Vroom and Jago, 2007; Sternberg and Vroom, 2002). McCleskey (2014) notes that in order to develop situational leadership, leaders should receive skills and competency training aimed at developing their task oriented or relationship oriented skill deficits. Previous empirical research indicated that level of follower maturity was related to previous education and training interventions and this was relevant to how leaders managed followers (Bass, 2008; Hersey and Blanchard, 1979).

Leadership scholars have called for an increase in the contextualization of leadership research (Peus, Braun and Frey, 2013; Jordan et al, 2010; Liden and

Antonakis, 2009; Schriesheim et al, 2009; Yukl, 1999). As Day and Antonakis (2012, p. 12) stress 'understanding the contextual factors in which leadership is embedded is necessary for advancing a more general understanding of leadership'. Despite Day and Antonakis (2012) stressing that contextual factors should be better understood, Dinh et al (2014) note that there has not been a significant growth in studies using contingency theories compared to other approaches such as trait or transformational theories. This leads to the following section, which describes the nature of transactional and transformational leadership.

## 2.4 Transactional and Transformational Leadership

Both transactional and transformational leadership have been the dominant paradigms for leadership research in recent years (Dinh et al, 2014; Bono et al, 2012; Judge and Piccolo, 2004). McDermott, Conway, Rousseau and Flood (2013) note that organisational research calls attention to two essential leadership styles among managers (i.e. transformation and transactional styles). Although most scholars agree that transactional and transformational leadership are different in concept and in practice, many authors believe that transformational leadership significantly augments transactional leadership, resulting in higher levels of individual, group, and organisational performance (Lowe et al, 1996; Bass and Avolio, 1994; Howell and Avolio, 1993). Bass et al (2003) state that before the introduction of charismatic-transformational leadership, transactional leadership was referred to by researchers as the core component of effective leadership behaviour in organisations and for this reason transactional leadership will be reviewed next.

### 2.4.1 Transactional Leadership

Transactional leadership involves exchanges in which both leaders and followers are bound by a reciprocal exchange. The leader contracts with the follower for services or goods and once the transaction is complete, the two go their separate ways (Burns, 1978). Bass (1985) elaborated on Burns' concept of transactional leadership by identifying three dimensions of transactional leadership: (1) Contingent reward – the degree to which the leader sets up constructive transactions or exchanges with followers; (2) Active management by exception – the degree to which the leader monitors followers' behaviour, anticipates problems and takes corrective action to address the problem; and (3) Passive management by exception – the degree to which the leader waits until the behaviour has created a problem before taking action.

A number of studies have reported links between transactional leadership and subordinate satisfaction, motivation, performance and commitment (Tyssen, Wald and Heidenreich; 2014; Bass, Avolio, Jung and Berson, 2003; Lowe, Kroeck and Sivasubramanian, 1996), management innovation in organisations (Vaccaro et al, 2012) and commitment to fulfilment of employment contracts (Avolio et al, 1999; Bass and Avolio, 1993). Goodwin, Wofford and Whittington (2001) reported a positive relationship between transactional contingent reward leadership and organisational citizenship behaviour and distinguished between transactional leadership that was more recognition based from that based on setting basic expectations and goals. McCleskey (2014) states that the existing leadership literature provides little guidance on transactional leadership development. This may stem from the fact that most leaders do not need development to behave transactionally with their followers.

## 2.4.2 Transformational Leadership

With the introduction of transformational leadership theory, greater attention was being paid to understanding how leaders were better equipped to elevate a follower's motivation and enhance performance levels (Bass et al, 2003). Transformational leaders express high expectations, provide individualised development, articulate a compelling collective vision and achieve extraordinary results (Bass and Riggio, 2006). They encourage the growth and development of their followers and inspired by the leader, followers transcend their own self-interest for a higher, collective purpose (Bass, 1985). Burns (1978) argued that a transformational leader aims to move people beyond their wants and desires to higher levels of motivation and morality. Several scholars (e.g. Bass, Avolio, Jung and Berson, 2003; Bass, 1985) view transformational leaders as agents of social and organisational change.

Bass (1985) identified four factors that were considered to be behaviours displayed by transformational leaders: (1) idealised influence, where a leader has high moral standards, is a strong role model and does the right thing; (2) inspirational motivation, where a leader communicates high performance expectations and motivates followers toward a common vision; (3) intellectual stimulation, where the leader imbues innovation and creativity in followers and enables them to think about old problems in new ways; and (4) individualised consideration, where the leader supports followers, gives them personal attention and understands their specific needs and motivations.

There has been considerable empirical research conducted on transformational leadership over the past 35 years (Piccolo et al, 2012; Avolio, Walumbwa and Weber, 2009; Bass and Avolio, 1993; Conger, 1999). The positive effects of transformational leadership have been described and summarised in three separate meta-analytic reviews (Judge and Piccolo, 2004; Fuller et al, 1996; Lowe et al, 1996). The studies reviewed in this body of work indicate relationships between transformational leadership by superiors and the enhanced performance of

subordinates. Other studies have investigated relationships between transformational leadership styles and a wide range of outcomes, such as leadership effectiveness (Cavazotte, Mareno, Hickman, 2012; Bennis and Nanus, 1985), subordinate satisfaction, motivation and performance (Judge and Piccolo, 2004; Bass, 1998; Lowe, Kroeck, and Sivasubramaniam, 1996), trust in leadership (Podsakoff, MacKenzie, and Bommer, 1996), self-efficacy beliefs (Kirkpatrick and Locke, 1996), leadership satisfaction (Hater and Bass, 1988; Yammarino and Bass, 1990), worker absenteeism (George and Jones, 1997) and satisfaction (Staw, Sutton, and Pelled, 1994), performance outcomes such as individual and team performance (Weng et al, 2011; Lee et al, 2011; Geyer and Steyrer, 1998), and the achievement of organisational goals (Cavazotte, Mareno and Hickman, 2012; Judge and Piccolo, 2004; Conger, 1999).

Geyer and Steyer (1998) evaluated the leadership of managers heading Austrian bank branches, reporting a stronger positive relationship between transformational leadership and long-term versus short-term performance. They suggested that the stronger relationship between transformational leadership and long-term performance may have been due to transformational leaders creating a more inspired, committed, and cohesive culture in their banks. In a study of 23 branches of a large Taiwanese bank, Weng, Su and Lai (2011) identified transformational leadership behaviour as the primary source of the positive influence on service performance in addition to leader member exchange (LMX). They suggested that transformational leadership behaviour motivates employees to strive to deliver superior service performance.

Lee et al (2011) collected data from 192 employees across 32 operational teams in 15 retail banks in Macau, China. They investigated whether the five dimensions of transformational leadership had an impact on team performance with respect to team cohesion, team leader job satisfaction and team competence; and whether the dimensions of team performance influenced service quality dimensions including reliability and responsiveness. They found one dimension of transformational leadership, namely intellectual stimulation (i.e. the degree to which leaders challenge

assumptions, take risks and solicit followers' ideas), was found to be positively related to team performance and, subsequently, to service quality. They suggested that these findings could be due to how the teams sampled coped with the pace of change in the external environment and worked on unstructured, diverse and complicated tasks in their internal environments. Cavazotte, Mareno and Hickman (2012) investigated the effects of intelligence, personality traits and emotional intelligence on transformational leadership and effective performance as measured by the achievement of organisational outcomes among 134 mid-level managers in a large Brazilian energy company. Their findings suggested that leadership effectiveness is a direct function of a leader's transformational leadership behaviours.

The question of whether transformational leadership can be taught has been reviewed by several scholars (e.g. McCleskey, 2014; Bass, 2008; Kirkbride, 2006; Kelloway and Barling, 2000). Kirkbride (2006) examined the development of transformational leadership in a number of organisations such as Pirelli and ITT. He found that transformational leadership could be developed through the use of structured workshops, one-to-one coaching and the Multifactor Leadership Questionnaire (MLQ). The MLQ measures the different behaviours involved in transformational and transactional leadership. Similarly, Barling and Kelloway (2000) studied the development of transformational leadership in two separate organisations in Canada and found that training (i.e. participation in a workshop) and coaching (i.e. one to one feedback using subordinate ratings) supported the development of transformational leadership. They state that both approaches independently are effective and there is no additional enhancement in transformational leadership when the approaches are combined together. Despite these studies, McCleskey (2014) queried whether transformational leadership development was possible based on the recommendations that it should be a broad educational process (Bass and Riggio, 2006), should target the leader's values and self-concepts (Bass, 2008) and should be aimed at higher stages of moral reasoning (Burns, 1978).

### 2.4.3 Criticisms and contributions of transactional and transformational leadership

Despite the extensive empirical research supporting the concepts of transformational and transactional leadership there has been some critique of the models. Yukl (1989, p.212) observed that the transactional-transformational model 'is fast becoming a two factor theory of leadership processes, which is an unwarranted oversimplification of a complex phenomenon' which does not take into consideration group or organisational processes. Bass and Steidlmeier (1999, p.181) argue that 'to be truly transformational, leadership must be grounded in moral foundations'. They state that a 'pseudo-transformational leader' may look like a transformational leader but is not genuine, and that a leader can often display the characteristics and behaviours of a transformational leader but they do not have the moral basis for being transformational. It is also been maintained that transformational leadership focuses on exceptional leadership (House and Aditya, 1997). In transactional leadership, the daily activities of leaders has not been considered, for example, it has been argued that transactional leaders do not only set goals and communicate what can be expected if the goals are met, but they also check from time to time whether their followers achieve these goals and if they need help (Lines, 2004; Judge et al, 2004). A further criticism has been that the Multifactor Leadership Questionnaire (MLQ), which measures the different behaviours involved in transformational and transactional leadership does not use the full range of transformational behaviours. Table 2.4 summarises the main criticisms of the literature on transformational and transactional leadership styles.

**Table 2.4 - Contributions and Criticisms of Transactional and Transformational Leadership (Source: Yukl, 2010; Bass and Steidlmeier, 1999)**

Contributions	Criticisms
<ul style="list-style-type: none"> <li>• Heavily researched and empirical evidence to support the fact that transactional and transformational leadership is effective.</li> </ul>	<ul style="list-style-type: none"> <li>• Represents a two-factor theory of leadership processes, which oversimplifies the concept of leadership.</li> </ul>
<ul style="list-style-type: none"> <li>• Both transactional and transformational leadership are presented as a process between leader and follower, therefore followers gain a more prominent position in the leadership process.</li> </ul>	<ul style="list-style-type: none"> <li>• The assumption that all relevant leadership behaviours are included in transactional and transformational leadership has been challenged.</li> </ul>
<ul style="list-style-type: none"> <li>• Both styles augment other leadership models by including followers; other models disregard followers (e.g. trait theories).</li> </ul>	<ul style="list-style-type: none"> <li>• Focuses on exceptional leadership behaviour (transformational leadership) and does not take into account daily leadership tasks such as helping followers achieve their respective goals (transactional leadership).</li> </ul>
<ul style="list-style-type: none"> <li>• Has intuitive appeal as a theory and is easily understood.</li> </ul>	<ul style="list-style-type: none"> <li>• Can sometimes be viewed as a trait theory (i.e. hero bias) and therefore there is a question about whether one can be 'trained' to be transformational. There is also questioning of ability to 'look like a transformational leader' but not have the moral underpinnings.</li> </ul>

Despite the criticisms outlined above, the positive link between transactional leadership and transformational leadership and performance have been supported. However, given the 'deep rooted concerns about the ethical conduct of today's leaders based on chilling examples of corporate and government malfeasance' (Gardner et al,

2011, p. 1120), theorising on authentic leadership has gradually developed. In addition, a focus on the darker side of leadership (including abusive leaders) and the toxic impact this can have within organisations has been explored by various scholars (e.g. Liu et al, 2012; Tepper et al, 2007). This focus on the darker side of leadership developed even further following corporate scandals such as Enron, WorldCom and Lehman Brothers. In particular, the financial crisis that followed after the collapse of Lehman Brothers led to a loss of confidence in corporate leaders and cynicism with regard to their role (DeVries, 2012; DeVries and Korotov, 2010). The following section describes the theory of authentic leadership.

## 2.5 Authentic Leadership Theory

### 2.5.1 Definitions of Authentic Leadership

Theorising on authentic leadership has gradually developed given the corporate scandals noted above and the loss of confidence in corporate leaders (Banks et al, 2016; Diddams and Chang, 2012; Gardner et al, 2011). The theory and definition of authentic leadership is based on the established concept of authenticity together with positive organisational behaviour theory, ethics, psychology and positive forms of leadership (Peterson et al, 2012; Cooper, Scandura and Schriesheim, 2005). Authentic leadership refers to a leadership style that includes positive leader capacities and a mature organisational leadership culture (Luthans and Avolio, 2003). Ilies et al (2005) positioned authentic leadership as a 'root concept' that underlies the positive aspects of charismatic, transformational, spiritual and ethical leadership theories and state that as a concept it proposes high levels of self-awareness and positive behaviours on the side of both leader and follower (Neider and Schriesheim 2011; Ilies et al, 2005).

Given the divergence in theories that have informed authentic leadership, a variety of definitions have emerged. These definitions have been explored through

various lenses; developmental, intrapersonal and interpersonal (Northouse, 2010).

Table 2.5 outlines a sample of the definitions using the various approaches.

**Table 2.5 - Definitions of Authentic Leadership (based on Gardner et al, 2011, p. 1122 and Northouse, 2010)**

Lens	Source	Definition
<b>Developmental</b>	Luthans and Avolio (2003, p. 243)	Authentic leadership... 'is a process that draws from both positive psychological capacities and a highly developed organizational context, which results in both greater self-awareness and self-regulated positive behaviors on the part of leaders and associates, fostering positive self-development. The authentic leader is confident, hopeful, optimistic, resilient, transparent, moral/ethical future-oriented, and gives priority to developing associates into leaders themselves'.
	Avolio, Gardner et al (2004, pp. 802, 803)	Authentic leaders are 'those individuals who know who they are, what they think and behave and are perceived by others as being aware of their own and others' values/moral perspective, knowledge, and strengths; aware of the context in which they operate; and who are confident, hopeful, resilient, and of high moral character'.
<b>Intrapersonal</b>	Shamir and Eilam (2005, p. 399)	Authentic leaders can be distinguished... 'by four self-related characteristics: 1) the degree of person role merger i.e. the salience of the leadership role in their self-concept, 2) the level of self-concept clarity and the extent to which this clarity centers around strongly held values and convictions, 3) the extent to which their goals are self-concordant, and 4) the degree to which their behavior is consistent with their self-concept'.
	Begley (2007, p. 163)	Authentic leadership is 'a function of self-knowledge, sensitivity to the orientations of others, and a technical sophistication that leads to a synergy of leadership action'.
<b>Interpersonal</b>	Henderson and Hoy (1982, pp. 67-68)	Authentic leadership is 'the extent to which subordinates perceive their leader to demonstrate the acceptance of organizational and personal responsibility for actions, outcomes, and mistakes; to be non-manipulating of subordinates; and to exhibit salience of self over role'.
	Ilies et al (2005, p. 374)	Authentic leaders are 'deeply aware of their values and beliefs, they are self-confident, genuine, reliable and trustworthy, and they focus on building followers' strengths, broadening their thinking and creating a positive and engaging organizational context'.

Developmental definitions focus on how authentic leadership can be developed over the lifespan and via trigger events such as a rewarding assignment or a promotion at work, whereas negative trigger events might take the form of a poor performance evaluation or demotion (Harvey, Martinko and Gardner, 2006). Viewing authentic leadership via a developmental lens, Luthans and Avolio (2003, p.243) define it as ‘a process that draws from both positive psychology capacities and a highly developed organizational context, which results in both greater self-awareness and self-regulated positive behaviour on the part of leaders and associates, fostering positive self-development’. Walumbwa et al (2008, p.94) also from a developmental perspective refer to ‘a pattern of leader behavior that draws upon and promotes both positive psychological capacities and a positive ethical climate, to foster greater self-awareness, an internalised moral perspective, balanced processing of information, and relational transparency on the part of leaders working with followers, fostering positive self-development’. An intrapersonal lens defines authentic leadership by focusing on the self-concept and how it relates to actions. Shamir and Eliam (2005, p.396) suggest ‘life stories provide leaders with a ‘meaning system’ from which they can act authentically, that is interpret and act in a way that gives interpretation and actions a personal meaning (Kegan, 1983, p. 20)’. In this way, Shamir and Eliam (2005) place an emphasis on self-development and more specifically on the development of the self-concept through the construction of life stories. Eagly (2005) defines authentic leadership via an interpersonal lens and states that it is created by leaders and followers together in a relationship where followers accord leaders the legitimacy to promote a set of values. In this approach to authentic leadership, the reciprocal interaction between leaders and followers is important so that leaders obtain ‘buy in’ from their followers. Through this approach, leaders create loyalty and promote change when they listen to their followers and adapt their message.

Given the variation in definitions of authentic leadership, several scholars (Rego et al, 2015; Avolio and Mhatre, 2012; Gardner et al, 2011) note that work on

authentic leadership is in the early stages of development. Yukl (2010) declared that 'until differences in the definition of authentic leadership are resolved, and differences between authentic leadership theory and other theories of leadership...are resolved, it will be difficult even to determine what should be included in the research' (p. 425). For the purposes of this research, authentic leadership is defined as 'a process that draws from both positive psychological capacities and a highly developed organizational context, which results in both greater self-awareness and self-regulated positive behaviours on the part of leaders and associates, fostering positive self-development' (Luthans and Avolio, 2003, p. 243). This definition has a developmental lens and focuses on authentic leadership as a process that fosters self-development which is appropriate in the context of this study.

However, while Cooper, Scandura and Schriesheim (2005) also comment on the differences in authentic leadership definitions they also note that there are three common components associated with the various definitions: (1) the existence of a 'true self' from which leaders operate; (2) the extent of self-awareness experienced by the leader; and (3) the self-regulation or adherence to moral values associated with authentic actions. Through their research Avolio and Gardner (2005) and Gardner et al (2005) made some refinements to these three components and yielded a four component model of authentic leadership. There has been some empirical evidence supporting and validating the four components of authentic leadership which have been proposed (Rego et al, 2013; Avolio and Mhatre, 2012; Caza and Jackson, 2011) and these are discussed next.

## 2.5.2 The Four Components of Authentic Leadership

Despite the divergence of definitions of the concept, several scholars (Cianci et al, 2014; Diddams and Chang, 2012; Gardner et al, 2011; Avolio et al, 2009; Gardner et al, 2005) agree that there are four components of authentic leadership: self-awareness, relational transparency, balanced processing and internalised moral perspective/self-regulation. Mazutis and Slawinski (2008 p.443) refer to these as 'authentic leadership *capabilities* that can be developed' rather than trait like characteristics which are less malleable.

- ***Self-Awareness***

Self-awareness relates to individuals who have a high level of self-concept clarity and extensive self-knowledge. Authentic leaders are aware of the impact they have on others and gain further insight on the self through their interactions with others (Avolio et al, 2008). These individuals have an understanding of how they derive and make meaning about the world and how that meaning-making process impacts the way they view themselves over time (Neider and Schriesheim, 2011; Avolio et al, 2008). Self-awareness includes being aware of one's strengths and weaknesses, as well as understanding emotions and personality (Ilies et al, 2005). It is not an end in itself but is rather a process that allows one to reflect on oneself (Gardner et al, 2005; Ilies et al 2005). Several scholars (Cianci et al, 2014; Kernis 2003) suggest that because authentic leaders have a deep knowledge of their strengths and weaknesses, which leads to less defensiveness in their interactions with followers, this allows them to be consistent and transparent in situations.

- ***Relational Transparency***

Relational transparency is related to self-awareness and is about presenting one's authentic self (as opposed to a fake or distorted self) to others. Authentic leaders openly share information and feelings with others appropriate to the situation and avoid inappropriate displays of emotion (Avolio et al, 2008). Cianci et al (2014) state that authentic leaders ensure their actions are in line with the values they espouse and that

they 'walk their talk'. As a consequence, followers trust authentic leaders and can identify with and take on their values (Neider and Schriesheim, 2011; Avolio et al, 2008). Relational authenticity on the part of leaders involves striving to achieve openness and truthfulness in their relationship with followers.

- ***Balanced Processing***

Balanced processing is the ability to objectively analyse data before making a decision. Authentic leaders solicit views that challenge their deeply held positions, recognise their own limits and take others' views into account (Caza and Jackson, 2011; Neider and Schriesheim, 2011; Avolio et al, 2008). Authentic leaders pay attention to both the positive and negative interpretations about themselves and their leadership styles. Ilies et al (2005) suggest that balanced processing is at the heart of personal integrity and character and therefore significantly influences a leader's decision making and actions.

- ***Internalised Moral Perspective***

Authentic leaders have an internalised and integrated form of self-regulation which is guided by internal moral standards and values. Vancouver and Day (2005) refer to self-regulation as '...processes involved in attaining and maintaining (i.e., keeping regular) goals, where goals are internally represented (i.e., within the self) desired states' (p. 158). A leader's decision making and behaviour is consistent with this internalised self and is not based on group, organisational or societal pressures (Neider and Schriesheim, 2011; Avolio et al, 2008). George and Sims (2007) believe that when faced with adversity and pressures to act unethically, authentic leaders will be able to orient their own internal moral standards and values to drive appropriate behaviour. Self-regulation processes in the form of goal orientation support leader development in terms of contributing motivational resources and persistence in and across development experiences (Day and Sin, 2011; Dragoni et al, 2009).

The four dimensions outlined above have been found to be mutually reinforcing and several scholars (Gill and Caza, 2015; Leroy et al, 2015; Cianci et al, 2014) have

noted that to the extent that followers perceive leaders to engage in these behaviours, the literature defines those leaders as authentic.

### 2.5.3 Research investigating Authentic Leadership

Banks et al (2016) and Gardner et al (2011) note a significant increase in research on authentic leadership, which has developed as a result of researchers (e.g. George, 2003; Luthans and Avolio, 2003) calling for further scholarly research in the area. Research on the four components of authentic leadership has been conducted in recent years using the Authentic Leadership Questionnaire (ALQ) (Banks et al, 2016; Ilies et al, 2005) and the Authentic Leadership Inventory (ALI) (Neider and Schriesheim, 2011). Gardner et al's (2011) review of 91 peer reviewed publications which included 59 theoretical publications, 25 empirical studies (9 qualitative and 16 quantitative) and 7 practitioner publications on authentic leadership identified varying antecedents, outcomes and mediators of authentic leadership. They found that in comparison to the antecedents, the outcomes of authentic leadership have received much greater empirical attention.

Several studies have reported relationships between authentic leadership and various employee related outcomes including: follower work engagement (Gill and Caza, 2015; Hassam and Ahmed, 2011; Avolio Luthans et al, 2005; Avolio, Gardner et al, 2004), well-being (Ilies et al, 2005) and creativity (Rego et al, 2012). Gill and Caza (2015) in a study examining 31 managers and their direct reports from one division of a multinational organisation found that authentic leadership was positively associated with various follower outcomes. Outcomes included identification with the leader, leader trustworthiness, positive follower states and positive social exchanges via both direct effects and indirect effects on followers. Clapp-Smith, Vogelgesang and Avey (2009) also found that authentic leadership leads to trust in management, which in turn positively influences group performance as measured by unit sales growth.

Jensen and Luthans (2006) found that employees' perception of leaders' authentic behaviour served as the strongest single predictor of employee job satisfaction, organizational commitment and work happiness. Laschinger, Wong and Grau (2012) found that authentic leadership had a negative direct effect on workplace bullying and emotional exhaustion and a positive effect on job satisfaction. Hassan and Ahmed (2011) examined how authentic leadership contributed to subordinates' trust in leadership and how this in turn predicted subordinates work engagement. Their study was conducted in the banking sector in Malaysia. The sample consisted of 395 employees from seven banks working in various positions such as clerks, supervisors, executive officers and managers. Their findings showed that authentic leadership promoted subordinate trust in leaders and contributed to employees' work engagement. They also found that interpersonal trust (i.e. beliefs about a set of particular characteristics of another individual) partially mediated the relationship between authentic leadership and employees' work engagement.

Peus et al (2012) examined the antecedents of authentic leadership and its influence on individual and group-level outcomes in business (Study 1; n = 306) and research organisations (Study 2; n = 105) in Germany. They found that self-knowledge and self-consistency were antecedents of authentic leadership, which in turn influenced followers' satisfaction with the leader, organisational commitment, and extra-effort, as well as perceived team effectiveness. These effects were partially mediated by the leader's predictability, an indicator of trust. Gardner, Avolio and Luthans et al, (2005) suggest that trigger events, positive psychological capacities and personal histories and a positive organisation context could lead to authentic leadership behaviours. However, Banks et al (2016) in their meta-analysis of authentic leadership research state that there is insufficient empirical data to test such assertions. They note that there is a general lack of identified antecedents that can predict the emergence of authentic leadership.

## 2.5.4 Criticisms of Authentic Leadership

As with all other theoretical perspectives on leadership, there are criticisms of authentic leadership, despite the relatively early stage in the development of the construct. Fields (2007, p.196) argues that it is not apparent how 'self-referent aspects of a leader's self and the leaders' underlying moral values become apparent to followers', while Diddams and Chang (2012) believe that an overly positive strength based view of authentic leadership is being presented and that scholars should hypothesise on the role that weaknesses play in strengthening authenticity and leadership effectiveness. Eagly and Carli (2007) argue that authentic leadership theories fail to take into account the complexities of gender and power. Despite these criticisms, authentic leadership theory is providing fertile ground for further empirical research and 'great promise for producing effective leaders who are oriented toward the service of others' (Diddams and Chang, 2012, p.600). Gardner et al (2011) suggest that future research on authentic leadership will need to demonstrate how authentic leadership relates to other constructs within its nomological network. This would include constructs such as moral perspective, self-concept clarity, well-being, spirituality, and judgment.

Several scholars (e.g. Cianci et al, 2014; Leroy et al, 2012; Gardner et al, 2011, Avolio, 2010) call for greater emphasis to be placed on the development of authentic leaders. Gardner et al (2011) also repeat Avolio's (2010) call for greater attention to the design and implementation of intervention strategies intended to foster the development of authentic leader. They also request more systematic evaluations of the host of commercial and educational programmes currently offered that promise to enhance the development of leaders, including their authenticity, integrity, and effectiveness. Without such evaluations, Gardner et al (2011) state that there is a risk of underutilising the considerable promise of the authentic leadership construct, and the leverage it provides for producing veritable and sustained improvements in individual, group, and organisational performance. While Ardichvili and Manderscheid (2008) note that highly successful coaching and training programmes have been

developed based on the concept of authentic leadership and self-knowledge, these calls for further research on the design and implementation of intervention strategies and evaluations of commercial programmes are relevant to this study. As Pearce (2007, p.356) notes 'leadership theories, and the models on which they rely, are imperative if one is to coordinate a coherent, internally consistent leadership selection, appraisal, training and development strategy within an organisation.' Therefore, it is imperative that in designing and developing leadership programmes consideration should be given to the underpinning theory and its relevance and application to the business setting (Gardner et al, 2011). In other words, authentic leadership should only be taught if it is relevant to the context and the population of business leaders undertaking development (Gardner et al, 2011).

This focus on the relationship between leadership effectiveness and performance outcomes will be discussed next.

## 2.6 Leadership Effectiveness

While much of the early research on leadership focused on meaning-making, more recent research has focused on leadership effectiveness (DeRue et al, 2011; Yukl, 2010; Chemers, 2001). Yukl's (2010) definition of leadership effectiveness is that an effective leader 'focuses on the consequences of influence on a single individual, a team or group, or an organization' (p.28). DeRue et al (2011) propose that leadership effectiveness criteria can be conceptualised along three dimensions: (a) content (i.e. task performance or follower satisfaction); (b) level of analysis (i.e. individual, dyad, group or organisation); and (c) target of evaluation (e.g. leader, follower, group or organisation). However, Yukl (2011) states that, similar to the definitions of leadership, conceptions of leader effectiveness differ from one writer to another, which is one reason why the literature is not well integrated. Notwithstanding this tension, leadership

effectiveness has been extensively researched (e.g. Van Knippenberg, 2011; Yukl, 2011; Kaiser, Hogan and Craig, 2008).

In a review of ten meta-analytic studies to determine how leadership was measured in past research, Kaiser, Hogan and Craig (2008) identified two categories of leadership measures: (1) those focusing on individual leaders; (2) those focusing on groups, teams and organisations. Table 2.6 provides an overview of these key categories and relevant empirical studies that have evaluated leadership effectiveness. The first category focuses on the individual as the unit of analysis and includes: (a) leadership emergence (i.e. being perceived as leader like) and (b) perceived effectiveness (i.e. being perceived as effective in a leadership role).

**Table 2.6 - Leadership Effectiveness Categories (adapted from Kaiser, Hogan and Craig, 2008)**

	Leadership Effectiveness Categories	Source
1.	<p>Measures focusing on individual leaders</p> <p>(a) Leadership emergence (i.e. being perceived as leader like)</p> <p>(b) Perceived effectiveness (i.e. the degree to which others perceive leaders as being effective)</p>	<ul style="list-style-type: none"> <li>• Howell and Shamir, 2005; Anderson and Wanberg, 1991; Lord et al, 1986.</li> <li>• Datta, 2015; Cavazotte, Mareno, Hickman, 2012; Peus et al, 2012; Peterson et al, 2012; Rego et al, 2012; Hassan and Ahmed, 2011.</li> </ul>
2.	<p>Team performance</p> <p>(a) Group processes (i.e. how the team functions)</p> <p>(b) Goal accomplishment (i.e. what the team achieves)</p>	<ul style="list-style-type: none"> <li>• Zaccaro, Rittman and Marks, 2001; Hackman and Walton, 1986 and Kozlowski and Doherty, 1989, Likert, 1967)</li> <li>• Datta, 2015; Yukl, 2011; Mahsud, Yukl and Prussia 2011; Kaiser, Hogan and Craig 2008.</li> </ul>

## 2.6.1 Leadership Effectiveness Outcomes

Kaiser, Hogan and Craig (2008) state that leaders are evaluated in terms of individual factors such as leadership emergence (i.e. being perceived as leader like) or on their perceived effectiveness as a leader. Leaders are also evaluated on the actual performance of their team or organisational unit. Leadership effectiveness at an individual level is measured in several ways such as peer or observer ratings using 360 degree feedback or through the measurement of the quantity and quality of an individual's participation in leaderless groups which Judge et al (2002) note relates to a leader's relative standing among members of a social group. The use of 360 degree feedback has increased significantly since the 1990's (Day et al, 2014; Seifert and Yukl, 2010) and has been found to measure leadership effectiveness (e.g Johnson, 2013; Seifert and Yukl, 2010; Avolio, 2005). Finally, the career paths (e.g. promotion time span, age and experience) of leaders is also used to measure leadership effectiveness (Mumford et al, 2000, Fleenor et al, 1997).

The indicators of effectiveness at a team level that have been considered include team processes, goal accomplishment and leaders' career paths. Studies on team processes examine how the team functions and the extent to which, for example, the leader enhances group cohesiveness, member cooperation, member commitment or the extent to which they enhance problem solving and decision making by the group, or helps to resolve conflicts in a constructive way. Collective team processes are often captured by followers' or by outside observers' perceptions and include team dynamics (Zaccaro, Rittman and Marks, 2001; Hackman and Walton, 1986) and culture and climate (Kozlowski and Doherty, 1989, Likert, 1967). Studies that consider goal accomplishment focus on what the team achieves and captures results that provide objective measures of performance such as productivity and indicators of financial performance such as revenue, profits and costs (Mahsud, Yukl and Prussia 2011; Kaiser, Hogan and Craig 2008). Other objective outcomes such as customer satisfaction, customer growth and market share and HR outcomes such as turnover,

safety and talent development or innovation (e.g. new products, services or process improvements) are also used to measure leadership effectiveness (Datta, 2015; Yukl, 2011; Kaiser, Hogan and Craig 2008).

Thus, a broad range of outcomes have been used to measure leadership effectiveness and there is no universal construct to measure leadership effectiveness.

## 2.7 Integration of Leadership Theories

More recently there have been calls for more integration between leadership theories (Banks et al, 2016; DeRue et al, 2011; Nohria and Khurana, 2010; Drath et al, 2008; Avolio, 2009) in order to establish a more holistic view of leadership (Avolio, Walumbwa and Weber, 2009). Avolio et al (2009) posit that leadership models need to include 'the leader, the follower, the context, the levels and their dynamic interaction' (p.441), as well as examining the process of leadership and devising alternative ways to study leadership. Dinh et al (2014, p.55) concur with this view and state that 'leadership involves collaborative team processes, bottom-up follower-based processes, as well as more typical hierarchical, top-down influences'. They state that levels of analysis traditionally include the person, dyadic, group or organisation and suggest *events* as an additional level of analysis (Dinh et al, 2014; Dinh and Lord, 2012). They maintain that attention to this level of analysis is important because it allows scholars to capture the impact on dynamic structures such as personality and systems. This suggests that investigating an intervention such as a leadership development programme may provide useful insights into the process of leadership emergence. Dinh et al (2014) also suggest that further research is required on how the leader processes information and to consider how independent processes may operate together to affect leadership. They suggest that these approaches may assist in the development of a more integrated leadership theory.

Noting the call for the greater integration of leadership theories, Banks et al (2016) conducted a meta-analytic review of research on authentic and transformational leadership styles in order to compare the incremental validity of authentic leadership over and above transformational leadership and vice versa. They also outlined the contribution of both theories to the leadership literature and in predicting important work outcomes. They reviewed 100 independent authentic leadership studies which included 25,452 individuals and compared authentic leadership and transformational leadership theories and the relationship between the theories. They concluded that the comparison of authentic leadership to transformational leadership showed mixed dominance by the two constructs with neither construct adding noticeable incremental validity beyond the other construct. They found that authentic leadership did not show greater dominance than transformational leadership for follower job satisfaction (42.3% vs. 57.7%), task performance (22.4% vs. 77.6%), follower satisfaction with the leader (43.8% vs. 56.2%), and leadership effectiveness (41.7% vs. 58.3%). Conversely, authentic leadership did show greater dominance in the cases of group or organisation performance (78.6% vs. 21.4%) and organisational citizenship behaviour. Banks et al (2016, p. 10) note that 'authentic leadership outperformed transformational leadership when predicting group or firm level performance (a proxy for leadership effectiveness in some research areas)'. Despite Banks et al's (2016) review indicating an overlap between authentic and transformational leadership, they conclude that 'authentic leadership is a new leadership construct that shows promise; however, theoretical, measurement, and validity issues must be considered for this new construct to reach its full potential (p.13)'. Thus, there is still much to be learned about authentic leadership, particularly with regard to how it can be developed (Cianci et al, 2014; Leroy et al, 2012; Gardner et al, 2011, Avolio, 2010), its relationship to other constructs (e.g. moral perspective, self-concept clarity, well-being, spirituality, and judgment) (Gardner et al, 2011), as well as the need for qualitative studies examining the theory (Parry et al, 2014).

## 2.8 Summary of the Leadership Theories Literature

A review of the leadership theories literature has identified that considerable theorising and research exists on leadership theory (Storey, 2015; Day et al, 2014). Leadership thinking has evolved from an initial focus on traits which distinguished leaders from the general population (e.g. Stogdill, 1948; Mann, 1959) to a more recent revival of trait theory in the form of personality traits. Research indicates that personality traits are positively related to leadership effectiveness (e.g. Piccolo et al, 2012; Bono and Judge, 2004). For many years following the trait movement, leadership theorists focused on behaviours (i.e. what leaders do) in an attempt to understand how better to develop leaders. Quinn (2005) states that many leadership books and corporate training programmes highlight the behaviour of successful leaders and then attempt to teach participants to emulate those behaviours, however, the situation or context is not considered. Day and Antonakis (2012, p. 12) stress 'understanding the contextual factors in which leadership is embedded is necessary for advancing a more general understanding of leadership'.

Bass et al (2003) state that before the introduction of charismatic-transformational leadership, transactional leadership was referred to by researchers as the core component of effective leadership behaviour in organisations. Several scholars (Dinh et al, 2014; Piccolo et al, 2012; Bono and Judge, 2004) note that both transactional and transformational leadership have been the dominant paradigms over the last 35 years. Transformational leadership (Bass, 1985, Burns, 1978) is often regarded as an improvement over the behavioural leadership theories in terms of scope and predictive validity (e.g. Piccolo et al, 2012). The question of whether transformational leadership can be taught has been examined by scholars (e.g. Bass, 2008; Kirkbride, 2006; Kelloway and Barling, 2000) and evidence was found that training (i.e. participation in a workshop) and coaching (i.e. one to one feedback using subordinate ratings) supported the development of transformational leadership.

As noted above, the contribution of transactional leadership and transformational leadership to leadership thinking has been supported (Judge and Piccolo, 2004; Fuller et al, Lowe et al, 1996). However, in the context of corporate scandals such as Enron, WorldCom and Lehman Brothers, concerns about the ethical behaviour of today's business leaders were raised (Gardner et al, 2011). As a result, theorising on authentic leadership has developed gradually over the last decade and the theory is noted to be in the early stages of development (Rego et al, 2015; Avolio and Mharte, 2012). As outlined earlier, several scholars (e.g. Cianci et al, 2014; Leroy et al, 2012; Gardner et al, 2011, Avolio, 2010) call for greater emphasis to be placed on the development of authentic leaders. Gardner et al (2011) also repeat Avolio's (2010) call for greater attention to the design and implementation of intervention strategies intended to foster the development of authentic leader. Banks et al (2016) in their meta-analysis of authentic leadership theory note there is a general lack of antecedents that can predict the emergence of authentic leadership. It has also been noted that there is a need to demonstrate how authentic leadership relates to other constructs within in its nomological network (Gardner et al, 2011). Finally, Baron (2016) notes that very few studies have empirically evaluated leadership development using longitudinal methodologies and none have examined the ability of training programmes to foster the development of authentic leadership.

In an effort to integrate the trait and behaviour leadership theories, DeRue et al (2011) developed an integrative trait-behavioural model of leadership effectiveness. They examined leader traits (gender, intelligence and personality) and behaviours (transformational-transactional, initiating structure-consideration) across four leadership effectiveness criteria (leader effectiveness, group performance, follower job satisfaction, and satisfaction with the leader). They conducted research on previously published meta-analytic studies and found that leader behaviours tend to explain more variance in leadership effectiveness than leader traits. On the basis of these studies, it is indicated that leader behaviours are an important factor in leadership

effectiveness. Notwithstanding this study and other recent studies (e.g. Banks et al, 2016) integrating various leadership theories, a gap continues to exist in the literature.

Informed by the literature, this study will look at the development of authentic leadership development in the context of a leadership development programme. The objective is to understand whether authentic leadership can be developed, and if so, in what ways.

## 2.9 Chapter Summary

This chapter reviewed the nature of leadership before outlining the distinctions that have been made between managers (i.e. maintain the status quo) and leaders (i.e. advocating change and new approaches). The diversity in defining leadership was highlighted as an ongoing concern in the leadership literature. Major theories related to leadership were reviewed, that is, traditional leadership theories based on traits, behaviours and context/situation were briefly outlined. This review highlighted that while the trait review followed by a review of more recent leadership theories such as authentic leadership, transactional leadership and transformational leadership were then discussed. The contributions and criticisms of each theory were outlined and the chapter noted that given the myriad of leadership theories in existence, there have been recent calls for the integration of leadership theories and for research comparing and contrasting new leadership theories with existing leadership theories. More specifically, it is noted that authentic leadership theory, while still in the early stages of development, requires more empirical research to investigate its outcomes and the processes by which such effects are produced. There has been little integration between theories on leadership and approaches to the development of leaders in organisations (Pearse, 2007). Finally, leadership effectiveness and its impact at an individual, team and organisational level were discussed. Further to the noted gap in the literature on how to develop authentic leadership, the following chapter reviews

leadership development and the related leadership processes that may assist with such development.

## Chapter 3. LEADERSHIP DEVELOPMENT

### 3.1 Introduction

This chapter first highlights the importance of leadership development research and practice before defining leadership development. The distinction between leader development and leadership development is then discussed. A review of the effectiveness of leadership development is provided before leadership development process models are reviewed. The various components of leadership development programmes are then reviewed with leadership development practices including the benefits and criticisms of leadership competency models, formal education programmes, 360 degree feedback, coaching and networking being examined. The chapter then concludes with a brief summary.

### 3.2 Leadership Development: Research and Practice

Leadership development has become increasingly important in the corporate world in recent years (Day et al, 2014; Avolio et al, 2010; Riggio, 2008; Pearce, 2007; McCauley and Van Velsor, 2004; Murphy and Riggio, 2003). Today, corporations are spending significant revenue in an effort to build leadership capacity among their workforces. Recent evidence from Bersin by Deloitte, for example, estimates that spending on learning and development during 2013 had increased by 15% from the previous year, reaching over \$70 billion in the US and \$130 billion worldwide (O'Leonard, 2014). The study notes that an estimated 35% of this revenue was invested in leadership development, signalling it as *the* top priority within organisations. A number of scholars (Day et al, 2014; Yukl, 2009; Pearce, 2007) have highlighted the scarcity of processes and models concerning the development of leadership capabilities and state that given its importance, leadership development models must be established that are comprehensive and coherent suggesting that despite the high expenditure, there is no

one, unifying blueprint for leadership. Other leadership scholars have highlighted the general lack of empirical evidence supporting leadership training and development initiatives (Seidle et al, 2016; DeRue et al, 2011; Yukl, 2009; Lord and Hall 2005; Conger and Benjamin 1999). Avolio and Luthans (2006) report that a review of leadership intervention literature over a one hundred year period only produced 201 articles on studies examining the impact of leadership interventions. Others, such as Day and Sin (2011), have pointed to the poor quality of those few studies of leadership development that have been published over the years and note the absence of longitudinal studies to analyse the learning process and to understand developmental trajectories. It is against this background that the focus of the present research was advanced.

### 3.3 Leadership Development Defined

Given the varied definitions of leadership as described in the previous chapter, it is not surprising that definitions of leadership development are equally varied. Indeed, Barker (1997) raises the question: 'can we develop leadership, if we do not know what leadership is?' Development has been described in the literature as 'a complex process of professional and personal growth, of acquiring and increasing knowledge, experience and skills and of enabling personal qualities to mature' (Pierce, 2001, p. 96). Generally, development is understood to mean growth and this growth may be cognitive or social (Day and Sin, 2011; Mumford, Zaccaro et al, 2000; Brungardt, 1996).

The previous chapter highlighted the importance of understanding the development of leadership (Petrie, 2014; Day, Harrison and Halpin, 2012; McCauley et al, 2006) and (McCauley et al, 2006) noted that Constructive Developmental Theory had the potential to act as an integrative framework in the field if researchers explicitly link their work to relevant and emerging streams of leadership research. Kegan (1984)

suggests that leadership development is the ability to make meaning of experiences and argue that how a person interprets a situation is dependent upon their developmental level. Kuhnert and Lewis (1987, p. 650) argue that ‘understanding the process through which people construct meaning out of their experiences may advance our knowledge of how leaders understand, experience and approach the enterprise of leading’. Day et al (2012) suggest that how people make meaning of ongoing work initiatives, as well as how they make meaning of targeted leadership development interventions, is critical to understanding trajectories in leadership capability and effectiveness. Table 3.1 summarises some of the various definitions of leadership development which focus more on the acquisition of leadership skills rather than development in the context of meaning-making as outlined above.

**Table 3.1 - Sample of Leadership Development Definitions**

Source	Definition
DeRue and Myers, 2014, p. 8	Leadership development is ‘a process of preparing individuals and collectives to effectively engage in leading-following interactions’.
Avolio et al, 2009, p.76	Leadership development is ‘an attempt...to enhance an individual's knowledge, skills, ability, motivation, and/or perceived self-concept to enable them to exercise positive influence in the domain of leadership’.
Lord and Hall, 2005, p. 593	Leadership development is the ‘acquisition of leadership skills by an individual, recognizing that those individual skills may at times include the capacity to elicit leadership from others or to develop effective teams’.
Van Velsor and McCauley, 2004 p.18	Leadership development can be defined as ‘the expansion of the organization’s capacity to enact the basic leadership tasks needed for collective work: setting direction, creating alignment, and maintaining commitment’.

Source	Definition
McCauley, Moxley and VanVelsor, 1998 p. 582	Leadership development is defined as 'expanding the collective capacity of organizational members to engage effectively in leadership roles and processes'.
Brungardt, 1996, p.83	Leadership development is 'every form of growth or stage of development in the life cycle that promotes, encourages, and assists the expansion of knowledge or expertise required to optimize one's leadership potential and performance'.

The definitions in Table 3.1 have several common features, for example, they each include the attainment of skills, knowledge or competencies that promote more effective leadership. They also highlight that leadership development can focus on either the individual or collective although Day and Dragoni (2015) note that there is less frequent focus on boarder collectives such as teams or entire organisations. Finally, a number of the definitions include the concept of both follower and leader development. Avolio's (2009) definition diverges from other definitions in that it is the only definition that includes the idea of the self-concept developing. Day and Dragoni (2015) state that the emergence of different perspectives in terms of developing skills and competencies versus the whole person is fundamentally a debate about the nature of development. They join other scholars (e.g. Vincent et al, 2015; Day et al, 2014; Strang and Kuhnert, 2009; McCauley et al, 2006) by advocating that CDT may aid in understanding how the development of self-views and leadership capabilities enhances the ability to lead.

For the purposes of this research, Avolio's (2009) leadership development will be adapted as follows, leadership development is 'an attempt to enhance an *individual's meaning-making capacity* such that knowledge, skills, ability, motivation, and/or perceived self-concept enable them to exercise positive influence in the domain of leadership' (Avolio et al, 2009, p.76). This definition is broad and incorporates the

idea of development of the self-concept as well as the notion of influencing others which appears to be a key feature of much of the recent literature on leadership development (Day et al, 2014; DeRue and Myers, 2014; Riggio, 2008; Day, 2000). The definition also includes the concept of meaning-making thus linking CDT with leadership development theory. While there are common features and divergence in definitions of leadership development, a further consideration is the distinction between leader development and leadership development.

### 3.4 Leader Development versus Leadership Development

Day (2000) proposes a distinction between leader development and leadership development and argues that it is more than mere semantics. Table 3.2 provides a summary of this distinction.

**Table 3.2 - Summary of Differences between Leader Development and Leadership Development (Day, 2000)**

	Development Target	
Comparison Dimension	Leader	Leadership
Capital Type	Human	Social
Leadership Model	Individual Personal Power Knowledge Trustworthiness	Relational Commitments Mutual Respect Trust
Competency Base	Intrapersonal	Interpersonal
Skills	Self-awareness Emotional awareness Self-confidence Accurate self-image  Self-control Trustworthiness Personal responsibility Adaptability Self-motivation Initiative Commitment Optimism	Social awareness Empathy Service orientation Political awareness Social Skills Building bonds Team orientation Change catalyst Conflict management

A number of these definitions focus on the development of individuals' skills, knowledge and abilities as a standalone activity (e.g. Avolio, 2009; Mumford et al, 2007; Lord and Hall, 2005), while other definitions take a broader perspective and consider the capacity of a collective to undertake leadership which is regarded as an interactive, dynamic, social and cultural process (DeRue and Myers, 2014; Van Velsor and McCauley, 2004; McCauley et al, 1998).

A key difference between both perspectives is therefore an orientation toward developing human capital (leader development) as distinct from developing social capital (leadership development) (Day et al, 2014; DeRue and Myers, 2014; Drath et al, 2008; Day, 2000), with much of the leadership development literature to date focusing on leader development (Avolio et al, 2009; Drath et al, 2008; Day, 2000). Regarding this distinction, Day (2000, p.605) argues that 'leader development and leadership development should not be taken as edict for organisations to choose one approach over the other. Either approach is incomplete by itself'. The ideal approach is to link leader development with leadership development such that the development of leadership transcends but does not replace the development of individual leaders (Avolio and Hannah, 2008). Kegan (1994) argues that a bridge must be well anchored on either side for effective development to occur. In addition, any effort to develop individual and organisational capability must align with the business objectives of the organisation. Building on the work of Day (2000) and Kegan (1994), Drath et al (2008) propose that facilitating and supporting the development of leadership calls for new models that go beyond individual development and integrate individual-level with collective-level development. Leadership development in this sense takes on aspects of team development, network development, community development, and organisation development. Clarke (2012) noted five levels of analysis of leadership development: (1) individual, (2) the leader-follower dyad, (3) team, (4) organisational, and (5) community. For the purposes of this research, the term leadership development will be used to refer to both leader development and leadership development thus incorporating both human capital and social capital. Noting the

points raised earlier in the chapter regarding the significant investment in leadership development in organisations, questions arise on whether this investment is effective.

### 3.5 Evaluating the Effectiveness of Leadership Development

Several studies over the last three decades have examined the effectiveness of leadership development interventions. Burke and Day (1986) conducted a meta-analysis of 70 published and unpublished studies between 1951-1982 on managerial and leadership development programmes. They found that managerial and leadership development programmes were moderately effective and provided true mean effect sizes for each of the four criterion categories used: (1) objective behaviour, (2) subjective behaviour, (3) objective learning and (4) subjective learning. This meta-analysis was a seminal study indicating, for the first time, that leadership development did produce moderately positive outcomes. However, the study called for further empirical evidence before firm conclusions could be reached.

Similar to Burke and Day (1986), in a meta-analysis of 83 studies ranging from 1982-2001, Collins and Holton (2004) reviewed the effectiveness of managerial development programmes. They sought to understand the effectiveness of leadership development by measuring the following: (1) knowledge outcomes, (2) expertise behaviour outcomes, and (3) systems outcomes. They defined outcomes as 'a measurement of effectiveness or efficiency (of the organization) relative to core outputs of the system, subsystem, process or individual' (p. 221). They also examined a number of moderating effects among variables such as training context, organisational type and job classification level, but found that these could not be utilised with any reasonable level of confidence because of the low power of the studies and the probability of experiment-wise error. They concluded that the effectiveness of managerial leadership development programmes varied widely with some programmes proving extremely effective while others failed. For example, in the individual studies included in the meta-analysis, success ranged from a 'highly

unsuccessful programme' to a 'successful programme'. The results indicated positive outcomes with effect sizes ranging from .6 to 1.37 for knowledge outcomes, from .35 to 1.01 for expertise outcomes, and from .2 to .79 for systems outcomes.

In an alternative approach to assessing the debate around whether leaders are born or made, and to assess whether leader development is effective, studies on twins have provided interesting insights. In a study of identical and fraternal male twins, Arvey et al (2006) attributed environmental issues as accounting for up to 70 percent of the reason for leadership role occupancy. A subsequent study by Arvey et al (2007) investigated genetic and developmental influences on leadership role occupancy of 178 fraternal and 214 identical female twins drawn from a sample of the Minnesota twin registry. Similar to the study on male twins, their results indicated that only 32 percent of the variance in leadership role occupancy was associated with heritability. They found that work experience was significantly related to leadership role occupancy. What is interesting about this study is that given that the twins had lived together for at least fourteen years or longer from birth, the work experience factor showed a substantially higher impact on leadership role occupancy than the family experience factor. Arvey et al (2007) posited that the remaining variation was attributed to differences in environmental factors such as individuals having different role models and early opportunities for leadership development and that this was 'perhaps more important in shaping developmental components of women's careers and their entry into leadership roles' (p.703).

While Arvey et al's (2006, 2007) research is significant in addressing the 'born versus made' debate, other studies evaluating leadership development have demonstrated its effectiveness. Avolio et al (2009) investigated 200 laboratory and field studies using leadership interventions to understand whether these interventions had the intended impact and, if so, to what degree. Their findings indicated that 'experimental/quasi-experimental interventions had a positive impact across a broad range of interventions, organisational types, leadership levels, theories, levels of

quality of research and outcomes' (p.778). Overall, leadership development interventions produced a 66 percent probability of achieving a positive outcome versus only a 34 percent chance of success for the comparison group that had not participated in any leadership intervention. Their research suggests that future work on leadership development should take into consideration how the leadership model being learned by participants is linked to the specific outcomes that are expected to have the greatest impact over time. They argue that by linking the leadership model to a specific outcome (e.g. ratings of leader performance), the effectiveness of the leadership intervention can be demonstrated and greater leader efficacy can be developed as participants develop confidence. In a similar study, Skylar Powell and Yalcin (2010) conducted a meta-analysis on the effectiveness of managerial and or leadership development studies from 1952 to 2002, which included 85 interventions and 4,779 subjects. Using Kirkpatrick's model of evaluation, they found that the largest effect sizes were for learning (i.e. shorter term) outcomes relative to programmes targeted at behaviour and results (i.e. longer term) outcomes. Their results suggest that there has not been a great deal of improvement in the effectiveness of managerial training. They concluded that managerial training programmes have not been as successful as they would have hoped.

In general, the above studies suggest that leadership can be learned/developed, however, results are mixed and given the variety of leadership processes and practices available, the challenge for any organisation is to ensure that leadership development occurs at both the individual and collective levels as outlined by the definitions discussed earlier in the chapter (e.g. DeRue and Myers, 2014). In addition, there is a need to ensure that the development is long-lasting and embedded in the mind-sets of individual leaders and rooted in the culture of the organisation (Dinh et al, 2014). Gaps in the studies outlined above indicate, for example, that leadership development interventions have been successful when assessment is conducted shortly after the intervention. However, a longer term review of programmes does not

indicate that there has been change that impacts on performance or results over time (Skylar Powell and Yalcin, 2010). Collins and Holton (2004) measured outcomes of efficiency and effectiveness at an organisational level, it could be argued that if leadership development programmes are designed to change individual leaders, then measurement at the individual level is appropriate. Overall, there is still much to learn about leadership development programmes and how to make them more effective. A focus on leadership development process models may help in developing a better understanding of the issue of how leadership development occurs.

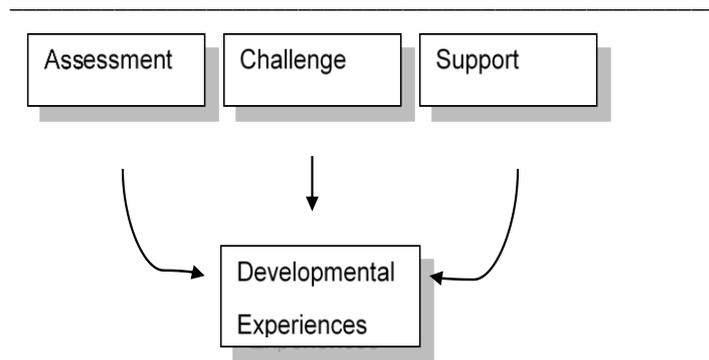
### 3.6 Leadership Development Process Models

Several scholars (e.g. Day et al, 2014; VanVelsor, McCauley and Ruderman, 2010; Lord and Hall, 2005) have identified the need to better understand the process through which leadership development occurs. Day et al (2014) consider these processes in their 25-year review of the leadership and leadership development literature. They stated that 'process factors are those that shape the rate or pattern of development over time...and emerge as 360-degree feedback, coaching, mentoring, leadership training and action learning among others' (p.70). Other scholars (e.g. Allen, 2008; Avolio, 2008) note that a 'black box' issue has evolved around the processes involved in leadership development. Notwithstanding this, a number of scholars have attempted to develop process models (Zintel, 2012; VanVelsor, McCauley and Ruderman, 2010; Lord and Hall, 2005).

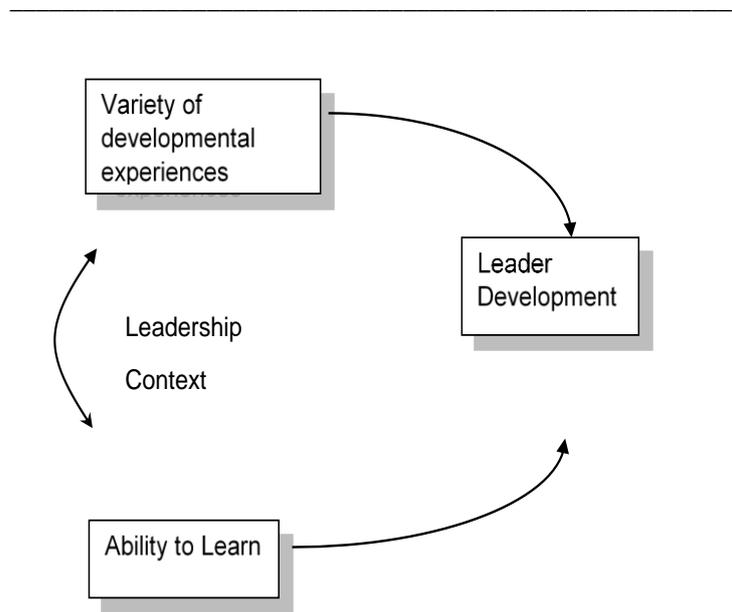
VanVelsor et al (2010) present a two-part model of leader development based on (a) developmental experiences such as assessment, challenge and support, and (b) the developmental process that requires a variety of developmental experiences and the ability to learn from experience (see Figure 3.1). They state that both the variety of developmental experiences and the ability to learn directly impact each other. In other words, being engaged in a developmental experience can enhance a person's

ability to learn and being more readily able to learn can lead individuals to gain more development from experiences. Their model is based on their experience of leader development at the Centre for Creative Leadership (CCL) where they have developed extensive leadership development programmes and interventions for the general population, targeted to specific segments of the population and to specific organisations. In their view, having assessment, challenge and support elements in any experience - whether it is a training programme, a stretch assignment or having a new role or boss - will make the experience richer and more developmental.

**Figure 3.1 - Leader Development Model (VanVelsor, McCauley and Ruderman (2010))**



**(a) Developmental Experiences**



**(b) The Developmental Process**

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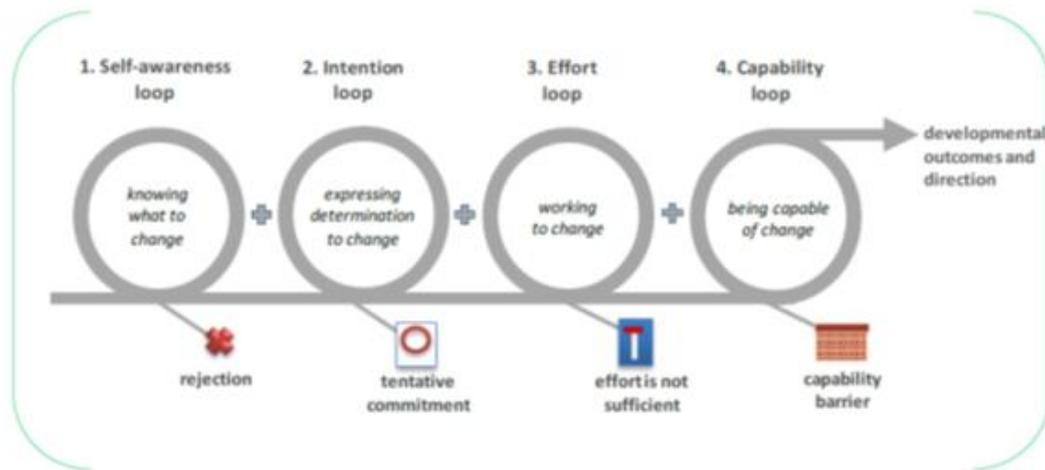
Other process models grounded in leadership theory have been developed. For example, Lord and Hall (2005) propose a leadership development approach that emphasises the leader's cognitive attributes or abilities in terms of progression from novice to intermediate to expert leadership skill levels. At each level, the emphasis is on qualitatively different knowledge and information processing capabilities. As leaders become more capable they draw on their internal resources such as identity, values and understanding of subordinates and situations to lead. Their model posits that the

following factors will impact the development of leadership skills: (1) identity, (2) values, (3) emotional regulation, (4) cognitive capacities, and (5) personality and temperament. They argue that their model addresses leadership development at a deeper, cognitive level because they are integrating personal, social and professional identities with leader identity. Mununsamy, Ruderman and Eckert (2010) argue that organisations should address the challenge of integrating leader identity with social identity as not doing so could have negative consequences for an organisation's leadership capacity. They outline four main consequences that can occur if leader identity is divorced from social identity. These are: loss of human capital, loss of identity capital, loss of diversity capital and loss of social capital. The idea of identity development will be discussed in further detail in the next chapter.

Zintel (2012) studied nine participants in a leadership development programme - the Personal Transformation for Leaders (PFTL) programme - conducted by the Praxis Centre at Cranfield University. The programme consists of five days residential training with a follow-up two day residential module. Four interviews were conducted with participants on the programme, one prior to starting the programme, two during the programme and a final interview upon completion of the programme. The purpose of the study was to examine whether a process of change was observable in the sense making (meaning-making) of individual participants and the implications of this for personal and leadership development. Zintel (2012) observed that participants indicated a distinction between processes of change mainly situated in a domain external to them, which she termed 'vector processes' which facilitate development; and processes of change mainly situated in a domain internal to themselves, which she termed 'core processes which *are* change' (p. 15). Figure 3.2 below presents the core processes that Zintel (2012) identifies, which represent the internal development that occurred for personal and leadership development. She identifies four core processes or iterative loops around the following: self-awareness, commitment, effort

and capability to change. In the study, Zintel (2012) noted that acceptance or rejection of new self-awareness affected the extent to which commitment and effort occurred.

**Figure 3.2 - Core Processes of Development (Zintel, 2012)**



The two process models described above have several similarities. Zintel (2012) and VanVelsor et al (2010) both start with generating greater self-awareness or assessment so that an individual can understand their current leadership style and behaviours. As highlighted in the previous chapter 'self-awareness...is the first of the four constructs shown to underpin authentic leadership' (Fusco et al, 2011, p. 130). Axelrod (2012) states that 'the critical importance of executive self-awareness for organizational effectiveness has been frequently noted by a wide array of modern leadership development experts' (p. 340). The growing acknowledgement of the central role that self-awareness plays in leadership and its development is also relevant to this study. The models outlined above (e.g. Lord and Hall, 2005; Zintel, 2012) also include the concept of change at the internal level or identity level. Finally, ability to learn in VanVelsor et al's (2010) model could be aligned to Lord and Hall's (2005) cognitive capacities.

It has already been noted, however, that although there has been heavy investment by organisations in leadership development, leadership development process models have limited use in practice and little empirical evidence exists in terms of evaluating this important area of investment (Day, Harrison and Halpin, 2009; Avolio,

2007). While the process models outlined above are a positive move in the right direction, there is no one leadership development process that has been universally accepted as the 'right' approach but there are common elements. Perhaps this is as a result of leadership development being the 'least explored topic within the field of leadership research and theory' (Avolio, 2010, p. 634) or perhaps the optimal approach would be entirely contingent on the specific context of a process model. As Goldberg (2001) points out, being unaware of how leadership development happens makes it difficult to replicate reliably the experience for positive benefit. Day, Harrison and Halpin (2009) called for research that would focus on development as the criterion of interest rather than leader performance. Kegan (2014, p.10 in Petrie, 2014) went so far as to say that 'some people want to put Christ back into Christmas; I want to put development back into leadership development'. Notwithstanding this, several leadership development approaches and practices have evolved to address the requirement for leadership development at the individual level. These are now considered in more detail in the next section.

### 3.7 Approaches to Leadership Development

As outlined in the introductory chapter, the business environment during the recent economic crisis changed dramatically and became more volatile, uncertain and complex. To respond to these challenges, it has been suggested that the skills needed for effective leadership within this environment have also changed, with more complex and adaptive thinking abilities now being required (Petrie, 2014; Day et al, 2014; Avolio, 2009). These changes have taken place, however, within a context where the leadership literature has largely been dominated by a focus on transformational leadership and to a lesser degree transactional leadership (Dinh et al, 2014), where as described in the criticisms of transformation and transactional leadership in the previous chapter, a two-factor theory of leadership has evolved. It has been contended

that newer theories of leadership development (e.g. authentic leadership) require a focus on not just 'what' is being developed but 'how' it is being developed (Petrie, 2014; Day et al, 2014; Kegan and Lahey, 2009). This requires a transition (Petrie, 2014) from a focus on horizontal development (i.e. the development of new skills, abilities and behaviours via competency models) to vertical development (i.e. the 'stages' that people progress in regard to how they make sense of the world). This suggests that the focus organisations have placed on competency models (Day et al, 2014; Riggio, 2008) may not be sufficient to develop leaders in the future. Notwithstanding this, leadership competency models and their effectiveness will now be reviewed as they were utilised in the context of the current study.

### 3.7.1 Leadership Competency Models

Leadership competency models are used extensively in the corporate world for the development of leaders. Despite this, Bolden (2016, p.34) asserts that 'there is no consistent scientific evidence...to suggest that leaders with particular traits or qualities are more likely to be successful than those with others, yet organisations of all kinds continue to develop and promote competency frameworks to measure and assess leadership capability'. Notwithstanding this assertion, a number of researchers have explored leadership development via the use of leadership competency models (e.g. Gentry and Sparks, 2012, 2008; Mumford et al 2004; Dulewicz and Higgs, 2002; Boyatzis, 1982). Boyatzis (1982, p. 21) in his seminal work *The Competent Manager* defined competencies as 'an underlying characteristic of a person in that it may be a motive, trait, skill, aspect of one's self-image or social role, or a body of knowledge he or she uses'. A number of researchers have explored linkages between competencies, leadership and performance (Jena and Chandan, 2014; Alimo-Metcalfe and Alban-Metcalfe, 2013; Muller and Turner, 2010; Geoghean and Dulweicz, 2008), personality (Johnson et al, 2004; Hogan, 2002; Judge et al, 2002) and emotional intelligence

(Boyatzis et al, 2008; McKee et al, 2008; Newman, 2007; Dulewicz and Higgs, 2002; Goleman, Boyatzis and McKee, 2002). McKee et al (2008) have demarcated the emotional and social awareness competencies required to lead change into the following categories: (1) social awareness, (2) self-awareness, (3) relationship management, and (4) self-management. Social awareness includes empathy and organisational awareness, while self-awareness includes emotional self-awareness. Aspects of relationship management include inspirational leadership, teamwork, coach and mentor and influence, while self-management includes positive outlook, achievement orientation, adaptability and emotional self-control. DeVries 2013, cited in Ungerer et al 2013, p. 47) states 'that most effective leaders possess clusters of competencies in three areas, namely cognitive competencies, such as conceptual thinking and holistic overviews; social competencies, such as empathy, presence and political awareness; and personal competencies, such as energy, self-confidence and personal effectiveness.' The humanistic approach highlights other competencies - hope, humility, values, realism and temperance (Bester, 2012). Thus, a vast array of competencies have been identified and their benefits and criticisms will be outlined next.

### 3.7.2 Benefits of Leadership Competency Models

Competencies are often seen as a tool to express what is valued by the organisation, as well as defining the characteristics identified to produce excellent performance and critical leadership skills (Gentry and Sparks, 2012; Myers, 2012; Asree et al, 2010). Table 3.3 outlines some of the benefits of using leadership competencies for both the individual and the organisation.

**Table 3.3 - Benefits of Leadership Competency Models. (Adapted from DeRue and Myers, 2014; Van Velsor and McCauley, 2004)**

Individual	Organisation
<ul style="list-style-type: none"> <li>• Can be used as an individual guide for development</li> <li>• Summarises the experience and insight of leaders</li> <li>• Specifies a range of useful leader behaviours</li> <li>• Outlines a leadership framework that can be used to help guide individuals in their selection, promotion, development and in understanding leadership effectiveness</li> </ul>	<ul style="list-style-type: none"> <li>• Provides a common language that can be used in an organisation to discuss leadership</li> <li>• Openly communicates which leader behaviours are important in an organisation</li> <li>• Helps to distinguish between the performance of individuals</li> <li>• Links leader behaviour to the strategic directions and goals of the business</li> <li>• Provides an integrated model of leadership that is relevant across many positions and leadership situations</li> <li>• Provides a framework for integrating HR processes and systems</li> </ul>

The literature (DeRue and Myers, 2014; Alban-Metcalfe and Alimo-Metcalfe, 2013; Asree, 2010; Hollenbeck, McCall and Silzer, 2006; Prahalad and Hamel, 1993; Boyatzis, 1982) emphasises that competencies offer a method for organisations to integrate their people processes with firm strategy. Asree et al (2010) found that that leadership competencies positively influenced the responsiveness and performance of the firm. Geoghean and Dulewicz (2008) in their study on project managers reported a significant relationship between a project manager's leadership competencies and project success. Alban-Metcalfe and Alimo-Metcalfe (2013, p. 59) summarised their value when stating 'what competency frameworks – when thoroughly researched,

properly constructed, and differentiated to meet the particular needs of different groups of managers and professionals – can do is define and describe what a leader needs to be able to do in order to achieve the goals and targets appropriate to their role.’ The need to thoroughly research, construct and differentiate leadership competencies has arisen because of the various criticisms documented in the literature and these will be discussed next.

### 3.7.3 Criticisms of Leadership Competency Models

Despite research indicating support for leadership competency models, extensive debate exists at both an academic and practitioner level on their value (Collins et al, 2015; Packard, 2014; Seligman, 2011; Hollenbeck, McCall and Silzer 2006). Collins et al (2015) state that there are several issues with competency frameworks, which include: (1) that their apparent comprehensiveness masks oversimplification i.e. they are generally too detailed to allow clear communication of competencies required; (2) that key competencies espoused by many professions are context dependent and therefore not generic across different settings and occupations; and (3) that there are inherently limited applications for optimising performance if a baseline of performance is the expectation. Packard (2014) states that a major limitation in our current knowledge is the sparse evidence that associates competence with actual workplace outcomes. Battilana et al (2014) further suggest that competency models only work if their target stays the same every year. However, this is unlikely to be the case in organisations, which continuously strive to improve their standards for performance and operate in a VUCA environment.

In summary, while there are criticisms of leadership competency models they continue to be used extensively by organisations to assist in the defining and enhancement of leadership behaviour and skills. The development of these leadership competencies is often via varying development practices such as leadership training

workshops, coaching, action learning, 360 degree feedback, job assignments and networking. These practices will be discussed next.

### 3.8 Leadership Development Practices

Over the last number of years there has been a proliferation of leadership development practices with leadership training being one of the most commonly offered forms of development. Notwithstanding the debate on whether leaders are born or made, there is general consensus that leadership competencies can be developed (Day et al, 2014; VanVelsor, McCauley and Ruderman; 2010; Avolio et al, 2007; Yukl, 2006).

Much of the leadership development practices that have been in existence within organisations are based on the behavioural theory of leadership, which is focused on developing specific behaviours or sets of behaviours that enable individuals to become better leaders (Lord and Hall, 2005; Judge and Bono, 2000; Lord, DeVader and Alliger, 1986). However, in reviewing the field of leadership development, McCauley and VanVelsor (2003) noted that the approach of many organisations is events-based rather than systemic. One method of making leadership development more systemic is to make sure it involves more than training (Jackson, Farndale and Kakabadse, 2005; McCauley and VanVelsor, 2003). Evidence from research conducted on leadership development via coaching, mentoring, on the job experience and 360 degree feedback, suggest that leadership development can be supported by deploying these practices in a programme for leadership development (Ladegard and Gjerde, 2014; Yip and Wilson, 2010; Stead, 2005).

### 3.8.1 Formal education programmes (Internal or External)

There has been extensive use of formal leadership programmes for accelerating leadership development in organisations (Avolio, Avey and Quisenberry, 2010; Riggio, 2008). Storey (2011, 2004) noted the increase in corporate universities established with the purpose of designing programmes to develop leaders and cite organisations such as the Royal Dutch Shell Group, Ernst & Young, Barclays PLC, Deloitte and BAE systems, which have established such universities. Likewise, there are many external organisations that offer leadership development programmes (O'Leonard, 2014). One established organisation is the Center for Creative Leadership (CCL), which regularly performs evaluations on the impact of their Leadership Development Programme (LDP) on participants' leadership competencies. A study of the programme conducted by Eckert et al (2014) indicated positive changes in each of the 14 behaviours and competencies measured, particularly negotiation and self-awareness. Boyatzis (2008) studied the impact of an MBA programme on the development of emotional, social and cognitive intelligence competencies using a combination of cross-sectional, longitudinal and time series data. Data collection began in 1990 as part of a 50-year longitudinal study of multiple cohorts of MBA students participating in a leadership assessment and development course at a large Ohio based university. Results indicated that participants on the programme developed emotional intelligence and cognitive competencies that were regarded as crucial to their leadership effectiveness. While perhaps unaware of these positive outcomes, organisations do continue to invest heavily in internal leadership development programmes (O'Leonard, 2014; Riggio and Mumford, 2011; Avolio et al, 2009; Riggio, 2008). Many of these internal leadership programmes include coaching, 360 degree feedback and networking (Day et al, 2014; Storey, 2011; Harrison and Halpin, 2008). These various leadership development practices will be discussed later in this chapter following a brief review and discussion of the criticisms of formal education programmes.

### 3.8.2 Criticisms of Formal Education Programmes (Internal or External)

While the benefits of formal management education programmes have been outlined above, some scholars criticise what is offered. For example, Gurdjian et al (2014) identify four reasons why corporate leadership programmes fail: (1) they overlook the context i.e. they fail to adequately take into account the specific organisational context; (2) they decouple reflection from real work i.e. they do not link real work challenges to the content of programmes; (3) they underestimate mind-sets i.e. organisations are reluctant to address the root causes of why leaders act the way they do, and (4) they fail to measure results i.e. track and measure changes in leadership performance over time, thus increasing the odds that improvement initiatives will not be taken seriously. Petrie (2014) notes that while the nature of the challenges that leaders are facing is changing, the methods of development of leaders' competences seem almost to stay the same. Mabey (2013) states that much of the writing and activity on corporate leadership development is driven by functionalist assumptions, with a primary concern for good design and enhanced corporate performance. At a broader level of criticism on leadership education, Crossan et al (2013) note that most business schools have focused time, energy, and resources in only one leadership domain - developing leadership competencies. In addition, they assert that leadership development programmes focus on leadership development at one particular level, rather than tackling the importance of leadership as a skill required across levels. For example, they note that many programmes include courses on managing people (aimed at the level of other individuals and the group) or leading change (aimed at the level of the organisation), but do not necessarily offer courses addressing leadership of self. Despite these criticisms, the interest and investment in leadership development programmes has not ceased. In particular, there has been a noted increase in the use of coaching as a development approach (Jones et al, 2015; Ladegard and Gjerde, 2014; Bono et al, 2009), which will be discussed next.

### 3.8.3 Coaching

One feature of many successful leadership programmes is coaching. In their review of the 37 definitions of coaching, Hamlin, Ellinger, and Beattie (2008, 2009) suggested that many definitions refer to coaching in general terms, but that other more specific definitions have been labelled as executive coaching, business, and life coaching. Coaching, according to Hamlin et al (2008), is a helping and facilitative process that 'is designed to improve existing skills, competence and performance, and to enhance [individual's] personal effectiveness or personal development or personal growth' (p. 295). It encompasses a common set of principles including 'collaboration and accountability, awareness raising, responsibility, commitment, action planning and action' (Grant et al, 2009 p. 397). Leadership coaching is broadly defined in terms of a relationship between a client and a coach that facilitates the client becoming a more effective leader in work situations (Cox and Jackson, 2010; Ely et al, 2010; Feldman and Lankau, 2005). Jones et al (2015) distinguish between coaching and mentoring, which typically involves a longer term interaction between a highly experienced mentor and inexperienced mentee.

The literature suggests that leadership coaching has become widely used as a leadership development intervention (Jones et al, 2015; Ladegard and Gjerde, 2014; Bono et al, 2009; Feldman and Lankau, 2005). Cox and Jackson (2010) outline how coaching has evolved from a focus on skills coaching (e.g. sport, technical mastery or aspects of work), to performance coaching (e.g. organisational, career or other aspirational goals), to developmental coaching (e.g. emphasising the whole person and encouraging them to realise their full potential). This progression regards developmental coaching as a more constructivist, developmental approach which as well as addressing immediate needs takes a longer term and more evolutionary perspective (Cox and Jackson, 2010).

Given the increasing use of leadership coaching in the workplace and its evolution from coaching to performance to development, it is not surprising that links to leadership effectiveness have been examined. Several studies have reported positive linkages between the use of coaching and a number of outcomes (see Table 3.4) including improved manager and employee satisfaction, commitment and reduced turnover (Bright and Crockett, 2012; Luthans and Peterson, 2003), enhanced goal striving, well-being and hope (Green, Oades and Grant, 2006; Grant, 2003), goal achievement, resilience and well-being (Grant, Curtayne and Burton, 2009), leader role efficacy and leader’s trust in subordinates (Ladegard and Gjerde, 2014), and enhanced social capital (Seibert et al, 2106; Galli and Muller-Stewens, 2012; Ellinger et al, 2011). Table 3.4 summarises the links between the use of coaching and various outcomes.

**Table 3.4 - Coaching Outcomes**

Source	Coaching Outcomes
Bright and Crockett (2012) Luthans and Peterson (2006)	Improved satisfaction, commitment and reduced turnover
Jones et al (2015) Kochanowski et al (2010)	Improved task performance
Grant et al (2009) Green et al (2006)	Enhanced goal striving
Grant (2003)	Well-being and hope
Ladegard and Gjerde (2014)	Leader role efficacy and leader’s trust in subordinates
Seibert (2015) Galli and Muller Stewens (2012) Ellinger (2011)	Enhanced social capital

Ely et al (2010) conducted research that evaluated methodologies in 49 leadership coaching studies. The results revealed that self-reported changes in clients' leadership behaviours were the most frequently assessed coaching outcome, followed by clients' perceptions of the effectiveness of coaching. Recommendations to advance coaching

evaluation research include the creation of collaborative partnerships between the evaluation stakeholders (client, coach, client's organisation, and coaching organisation) to facilitate systematic formative valuations, the collection of multisource and multi-level data, and the inclusion of distal outcomes in evaluation plans. Kochanowski, Seifert and Yukl (2010) used changes in multisource evaluations over time as an outcome measure for coaching and demonstrated that this positively impacted on task performance. Jones et al (2015) conducted a meta-analysis of workplace coaching based on 17 studies which included 2,267 individuals to assess whether coaching impacted on performance and other learning and development outcomes, for example, increased self-efficacy, enhanced leadership skills and competencies, achievement of individual, team or organisational results. Their review concluded that coaching was effective in terms of delivering individual learning and development and improvements in performance and results for organisations. A number of these outcomes relevant to this study will be discussed in further detail next.

#### 3.7.4 Coaching and Leadership Self-Efficacy

There are a growing number of empirical studies on leader efficacy (Springer and Schimmel, 2016; Ladegard and Gjerde, 2014; Hadley et al, 2011; Anderson et al, 2008; Finn, Mason and Bradley, 2007; Hannah, 2006; Larson and Borgen, 2006; Paglis and Green, 2002). These studies measure levels of self-efficacy, defined by Bandura (1977) as 'an individual's confidence about his/her abilities to mobilize the motivation, cognitive resources and course of action needed to successfully execute a specific task within a given context' (p. 5). Bandura (1994) states that perceptions of self-efficacy are influenced by four factors: (1) personal mastery (i.e. succeeding in a challenging activity provides the strongest information for changing efficacy beliefs); (2) vicarious learning (i.e. viewing the performance of others or watching a work colleague successfully perform a task); (3) verbal persuasion (i.e. positive feedback or

the encouragement of a credible person such as a coach, a mentor, a trainer, or a manager); and (4) a somatic and emotional state (i.e. the physical and emotional state caused by thinking about undertaking the new behaviour). Bandura's concept of self-efficacy has been extended to a leader's general feeling of mastery of his/her role and Paglis (2010, p. 772) defines leader role efficacy as 'a leader's confidence judgement in his/her ability to carry out the behaviors that comprise the leadership role'.

Ladegard and Gjerde (2014) examined the effectiveness of leadership coaching as a leadership tool among 24 leaders participating in a coaching programme across a variety of industries in Norway. Their findings indicated that coaching increased leader role efficacy and the leader's trust in subordinates, which they state are vital to leadership performance and future leadership development. Consistent with other researchers (e.g. Day et al, 2009), Ladegard and Gjerde (2014) suggest that in order to accelerate leadership development, organisations should focus 'more on the interior processes and less on exterior and observable competencies as the primary outcomes of leadership development programmes' (p. 14). They argue that leader role efficacy is an internal process and therefore organisations wanting to develop their leaders can offer leadership coaching as a development initiative. They also state that organisations should evaluate leadership development initiatives using validated measures before and after leadership interventions and not only at the end of a programme. In a similar study, Finn, Mason and Bradley (2007) tested the effects of an executive coaching programme on the development of various characteristics associated with leadership self-efficacy. Specifically, they analysed leaders' psychological states and transformational leadership behaviours based on a year-long study of a training programme designed to develop transformational leadership within a large public sector organisation. After participating in the training, the executives in the experimental condition had higher scores on transformational leadership efficacy ( $r = .45$ ) and reported higher self-efficacy, developmental support, openness to new behaviours, and developmental planning compared to leaders who had not completed

coaching. In addition, team members gave higher ratings of transformational leadership behaviour to leaders who had completed executive coaching than to leaders who had not completed executive coaching. Further, those executives in the experimental session were also rated as more transformational by their team members ( $r = .39$ ). This suggests that not only is leadership self-efficacy malleable and therefore trainable, it manifests itself as positive leadership behaviours. Finn, Mason and Bradley (2007) suggest that it may be useful to collect qualitative data in order to provide richer insights into executive coaching and a deeper understanding of why executive coaching is effective. Overall, this evidence suggests that self-efficacy is relevant to leadership development, particularly to coaching.

#### 3.8.4 Coaching and Social Capital

There are a small number of empirical studies that have indicated that particular approaches to leadership development supported by coaching can result in social capital development (Seibert et al, 2016; Li, 2013; Galli and Muller-Stewens, 2102; Ellinger et al, 2011). Day (2000) argued that a fuller understanding of the way managers become effective leaders would require theoretical attention to both human and social capital. Social capital is defined by Adler and Kwon (2002) 'as the goodwill available to individuals or groups. Its source lies in the structure and content of the actor's social relations. Its effects flow from the information, influence, and solidarity it makes available to the actor' (p. 23). Seibert et al (2016) note that it is one's social network of relationships that allows one to take productive action within a social context. They found that informal coaching by line managers' increased social capital and promotion prospects for 235 retail managers in an Australian retail organisation. Galli and Muller-Stewens (2012) studied a multi-function business and interviewed 15 experts in subsidiaries and at headquarters, as well as cross-functional managers. They found that networks/off-sites and mentoring enabled the development of weaker

forms of social capital development, while leadership development training including 360 degree feedback supported the development of 'semi-strong' social capital development, while job assignments and action learning supported the development of strong forms of social capital. Each of these leadership development interventions were supported by one-on-one coaching. In the context of their study, coaching was viewed as a self-reflection experience that was found to be advantageous for the development of social capital. Reflection at an individual level has been defined by Ong et al (2015) as the general tendency to consider and examine various elements of work during the course of the day. Boud et al (2013) recognise reflection as a response to experience. Schon (1983) suggests that reflection fits into two categories: (1) reflection-on-action (i.e. thinking back on what we have done), and (2) reflection-in-action (i.e. unstructured reflection that individuals engage in during the course of experiences, which is typically facilitated through action learning).

### 3.8.5 Criticisms of Coaching

Despite the evidence supporting coaching as a management development tool, there are a number of criticisms of coaching including (1) its lack of integration with other aspects of learning and development (Cox et al, 2010), and (2) the lack of diversity among coaches in the processes and tools they use (Bono et al, 2009). Ellinger and Kim (2014) noting that coaching has been criticised as being opinion based and prescriptive, as well as atheoretical which could be linked to the lack of integration with other aspects of learning and development. It has also been critiqued as being an under-researched concept, perhaps given that it represents a relatively new area of scholarship (Kim, 2014). Despite these criticisms, however, the number of organisations using coaching to develop leaders is increasing (Jones et al, 2015; Ladegard and Gjerde, 2014; Ely et al, 2010), with an International Coach Federation (ICF) survey (2012) suggesting that coaching was a \$2 billion industry (annually)

(Pappas and Jerman, 2015). In summary, the evidence is building that coaching can be utilised as a leadership development intervention and can get to the interior (i.e. self-efficacy and leader role efficacy) levels of development. Noting the common use of multisource or 360 degree feedback tools with coaching (Jones et al, 2015) and Kochanowski, Seifert and Yukl, (2010) highlighting that some studies use 360 degree feedback as an outcome measure, 360 degree feedback will be reviewed in the next section.

### 3.8.6 360 Degree Feedback

The early literature suggested that 360 degree feedback was 'perhaps the most notable management innovation of the 1990's' (Atwater, Waldman and Antonioni, 1998, p. 423) and several scholars (Day et al, 2014; Seifert and Yukl, 2010) suggest that its use since that time has continued to increase. Typically, 360 degree feedback involves a leader receiving multi-source feedback via a survey from staff, peers and their direct line manager. The purpose is to increase a leader's self-awareness so that adjustments and improvements can be made to their behaviour (Avolio, 2005; Atwater, Waldman and Antonioni, 1998). There are many tools available in the market to generate self-awareness; some of the most well-known and extensively used include, for example, the Myers Briggs Type Indicator (MBTI), the LifeStyles Inventory (LSI), and the Hogan 360. Despite the proliferation in the use of 360 degree feedback in leadership development, studies have produced different results; some conclusive about its positive contribution to leadership development (Johnson, 2013; Drew, 2009; Walker, Smither, Waldman, 2008), while others indicating that it has little positive influence (Smither et al, 2004), or that it may to a large degree depend on who is doing the evaluation (Hooijberg and Choi, 2000). Several studies have also shown that individuals can experience strong discouragement and frustration when 360-degree feedback is not as positive as they expected (Atwater and Brett, 2005). Brett and

Atwater (2001) found that managers who rated themselves higher than others (over estimators) reported significantly more negative reactions to the 360-degree feedback process. Seifert and Yukl (2010) conducted a longitudinal field experiment to investigate the effects of providing multi-source feedback to 26 middle managers in the corporate office of a supermarket chain. Each manager received behavioural feedback from subordinates, peers, and their immediate boss. Managers who only attended a single feedback workshop were compared to managers who attended a second feedback workshop several months after the initial one. Results indicated that a significant increase in the use of 'core' influence tactics (i.e. rational persuasion, consultation, collaboration and inspirational appeal with subordinates and peers) was found only for the managers who received repeated feedback, and these managers were also rated higher in their overall effectiveness by their bosses. Seifert and Yukl (2010) state that future research should examine how the effects of repeated feedback may be enhanced by follow-up activities such as providing coaching or training to managers. They also note that because such development activities usually require an additional investment of time and money, it would be worthwhile to learn more about the relative advantages and joint effects of different facilitating conditions.

Drew (2009), in a study of emergent leaders at a university in Australia, investigated the ways in which leaders responded to the 360 degree feedback and how 360 degree processes might be strengthened for maximum impact. Results indicated that all participants reported follow through for learning and development as a result of the feedback. The two key themes arising from this research were: (1) that useful reinforcement of self-perceptions had occurred but did not yield any surprising feedback; and (2) that the process yielded new insight and that development strategies and change had been attempted as a result. In addition, the importance of self-efficacy on the part of ratees in terms of acting on feedback received was noted. This implies that 360 degree will provide useful information for leadership development and that the

participants' self-efficacy and the organisation's role in supporting participants is important.

### 3.8.7 Criticisms of 360 Degree Feedback

One of the criticisms of 360 degree feedback, based on meta-analytic findings, is that these interventions can lead to a significant change in behaviour but that the effect sizes are typically modest and when done poorly may lead to both disengagement and a decline in performance (Nowack and Mashihi, 2012). In addition, it has been suggested that leaders can self-monitor behaviour in order to influence the feedback they receive (Smither, Walker, Waldman, 2004). Other criticisms of 360 degree feedback concerns whether the organisation places value on the behaviours reviewed by 360 degree tools and whether the 360 degree process can be successful if there is a lack of organisational support. Maurer et al (2002) found that both the context in which the feedback is given and the characteristics of the feedback are important for development activity following feedback. Their findings suggest that a work context that is supportive of skill development is important and that feedback recipients must believe that it is not only possible for people to improve their skills, but also that they themselves are capable of improving and developing.

### 3.8.8 Networks

It is suggested that 'leadership resides in the interactions between people thereby constituting a network of relationships that emerges and shifts over time' (Cullen-Lester and Yammarino, 2016, p.1). Several scholars (Day, 2012; Avolio, 2007; Mumford et al, 2007) argue that leadership development must involve more than the acquisition of individual skills and that much of this development occurs within a social context. Social capital theory, as outlined earlier, is concerned with the way in which the pattern

of social relationships in organisations provides access to social resources (Balkundi, Kilduff and Harrison, 2011; Fowler and Christakis, 2010; Balkundi and Kilduff, 2006). McCauley et al (2006) refer to the existence of 'social systems that produce leadership' (p. 650). Valcea et al (2011) also note that participants in a leadership development programme will be exposed to a network of relationships, which may have a complex impact on the development of individuals. In a similar vein, Balkundi and Kilduff (2005) note that leaders often interact with individuals in other parts of an organisation or in other organisations as a means of 'affecting the flow of important information and resources, and, thereby, organizational survival' (p. 436). Research suggests that individuals who conform to the ideals and values of the organisation are likely to become leaders and build social capital within their networks (Chrobot-Mason et al, 2016). In a similar way, Treadway et al (2012) state that social networks form the basis of relational leadership approaches in which leaders are recognised as being embedded in a social structure, which affects the leader's ability to act, control followers and attain outcomes. The leaders of networks build social capital as they make claim to and are granted the leader image, strengthening their self-image as a leader (Ashford and DeRue, 2010). Hoppe and Reinelt (2010) note that leadership networks provide resources and support for leaders, and increase the scope and scale of the impact that leaders can have individually and collectively and that leadership development practitioners are increasingly interested in social networks as a way to strengthen relationships among leaders in fields, communities, and organisations. Hoppe and Reinelt (2010) outline how social network analysis (i.e. the set of methodological tools for understanding relationships and structures within a network) is used to increase the awareness of leaders about the power of networks, to further catalyse relationships and connections, and to strengthen the capacity of the network to act collectively.

In a study linking networks to leadership development, Ghosh, Hayes and Kram (2013) reconceptualised developmental networks as 'holding environments', which

enable a leader to grow as an adult, thus increasing their effectiveness when faced with increasingly complex challenges. They define developmental networks 'as a network of individuals actively involved in...identity development through providing developmental assistance' (p. 233). They describe the holding environment as a reliable environment where leaders can feel safe to examine and interact with their worlds present, even when they are anxious or temporarily need a secure base to which they can retreat. They further state that adult development and leader development are inextricably linked and explain that developmental networks have the potential to serve as holding environments for facilitating a leader's growth throughout adulthood. Ghosh, Hayes and Kram (2013) reviewed the limitations contributing to challenges for leaders at different developmental levels as measured by Kegan's (1984) stages of development and suggest that future research examine the internal processes that occur for the leader's career growth, as well as the relationship dynamics that unfold. They suggest that future longitudinal studies employing in-depth qualitative interviews should examine how leaders confronted with different kinds of leadership challenges sustain responsive developmental networks that provide confirmation, contradiction and continuity for leadership development. As a practical implication, they urge organisations to attend to the quality and availability of high quality developmental relationships for the purposes of continuous learning and development.

In summary, networks can aid the leadership development process through facilitating the handling of challenges and the acquisition of capabilities particularly in the interpersonal and relational realm (Bartol and Zhang, 2007). However, while networks have been found to be a useful source of both human and social capital development, as with most approaches to leadership development, there have also been criticisms regarding their value.

### 3.8.9 Criticisms of Networks

In a review of the extant literature on developmental networks Dobrow et al (2012) suggest that while there is a general consensus about the construct's definition, variability about particular dimensions of developmental networks and how they are measured is also present. They also note that conceptual work on developmental networks advocates for examining developmental position as an antecedent of developmental network structure and content (e.g. Ghosh et al., 2010; Chandler and Kram, 2005). Dobrow et al (2012) further state that adult development theory suggests the type or amount of developmental support individuals need may vary across different developmental stages and suggest future research could test whether developmental network characteristics change according to one's developmental position (Kegan, 1994). Stark and Vedres (2006) also note that many researchers focus on trust within their network computations, but that the duration of the networks are not considered and that time is an important variable in network development. As a consequence, there have been calls for more longitudinal research on networks (Emery et al, 2013; Warner, Bowers and Dixon, 2012; Hoppe and Reinelt, 2010).

### 3.9 Strengths and Weaknesses of Leadership Processes

Having discussed the various leadership processes and their respective benefits and criticisms, it is important to understand the relative strengths and weaknesses of these key processes. Day (2000) carried out a comprehensive review of the strengths and weaknesses of leadership development processes from a social and human capital perspective. He concluded that coaching, mentoring and 360-degree feedback can have a positive influence on the development of human capital, while networks and action learning projects can impact positively on the development of social capital. Similarly, Harris, McMahan and Wright (2012) noted that leadership development processes can enhance human capital through the development of knowledge, skills,

abilities and potential, while Stahl et al (2009) noted that these processes can boost the careers of high-potential employees and their employability and can help to align behaviour. Table 3.5 presents an overview of the strengths and weaknesses of various leadership development processes which have been discussed in this chapter.

**Table 3.5 - Strengths and Weaknesses of Leadership Development Processes (Adapted from Day, 2000)**

Practice	Description	Development Target	Human Capital & Social Capital	Strengths	Weaknesses	Key References
360 degree feedback	Multi-source ratings of performance, organised and presented to an individual	Self-knowledge and self-awareness. Behavioural change.	✓ Human Capital X Social Capital	Comprehensive picture; broad perspectives (A)	Overwhelming amount of data; time and effort (C, S)	Seifert and Yukl (2010), Drew (2009), Fleenor, McCauley and Brutus (1997).
Coaching	Practical, goal focused form of 1:1 learning	Self-knowledge. Behavioural change. Career development.	✓	Personalised; intensive (C, S);	Expensive; coach and coachee must be well matched; can be confused with counselling. (C, S)	Ladegard and Gjerde (2014), Galli and Muller-Stewens (2012), Finn, Mason and Bradley (2007).
Corporate education programmes	Workshop based learning	Leadership knowledge. Socialization. Teamwork.	✓	Builds internal networks (S); professional development; (S)	Only addresses selective people (A, C). Leadership lessons are not always clear.	Eckert (2014), Storey (2011), Avolio et al (2010), Riggio, (2008).
Networks	Connecting to others in different functions and areas	Better problem solving. Learning who to consult for help.	✓	Builds organisation (S)	Ad hoc; unstructured (A)	Ghosh, Hayes and Kram (2013), Bartol and Zhang (2007), Balkundhi and Kilduff (2006).

Note: HC = human capital; SC = social capital; ✓ = intended development target; x = not an intended development target; A = assessment; C = challenge; S = support – (as per VanVelsor, McCauley and Ruderman (2010) process model described per figure 3.5)

Table 3.4 highlights that coaching is a tool used to generate self-knowledge and behavioural change through a personalised, intense relationship, while mentoring is used to help develop functional expertise and act as a potential catalyst for career advancement. 360 degree feedback provides a comprehensive picture of strengths and limitations, thus creating self-awareness which may lead to behavioural change. Networks provide opportunities for a leader to consult with others, potentially leading to better problem solving. In an exploratory case study, Galli and Muller-Stewens (2012) explored how leadership development processes might contribute to social capital development in a large multi-business firm. They found that leadership development practices vary in their potential impact on social capital development stages and thus suggest that the use of 360 degree feedback, leadership training, job assignments or action learning should be designed according to the type of development an organisation is hoping to achieve. Similarly, Day et al (2014) noted that the processes that shape the rate of leadership development over time are those such as mentoring and coaching, 360-degree feedback, leadership training, job assignments, and action learning among others (p.70). The processes that shape leadership development can also take place at multiple levels, for example, Dinh et al (2014) note that leadership takes place at multiple levels in organisations, at lower levels shaping follower behaviours and at higher levels shaping culture and climate. Thus, it has been found that there are a range of processes with different strengths and weaknesses that can be used by organisations to develop leaders.

### 3.10 Chapter Summary

In summary, the history of scholarly work on leader and leadership development is relatively short, yet organisations invest considerably in the development of their leaders (O'Leonard, 2014). Leadership development scholars have differentiated leader development from leadership development and have drawn on a range of leadership theories to explain the process of development. As a consequence, various leadership development process models have been developed with similar components but there is no one leadership development

process that has been universally accepted as the 'right' approach. In addition, various practices including leadership competency frameworks have been identified, as well as coaching, mentoring, 360-degree feedback to action learning and job assignments that aim to enhance particular competencies. The strengths and weaknesses of the various processes have been highlighted and the links between these practises and human capital and social capital development have been outlined.

The research reviewed in the chapter highlights that there has been heavy investment in leadership development, however more empirical studies are required to explore the outcomes of interventions such as formal educational programmes, on-the-job assignments, coaching or feedback interventions. It was noted that there is limited research that examines how training, development, or coaching programmes impact participants' constructive developmental stage (Day et al, 2014; McCauley et al, 2006). The call for research in the field of leadership development is towards a focus on personal trajectories of leaders, broadening the range of leadership development methods studied and identifying the outcomes variable that are impacted through this process (Day et al, 2014). Day et al (2014) suggest that the nature of studying leadership development 'involves mapping and understanding within- and between-person change patterns...over time' (p.65). In a similar vein, Kegan and Lahey (2010) contend that the underlying 'operating system' used for effective leadership development has not been addressed in recent leadership development approaches. They argue that leadership development would be significantly enhanced if understood in the context of meaning-making in adulthood. The studying of leadership development at an individual level involves within-person change and undoubtedly change involves learning. Learning and how leaders learn will be explored in the next chapter.

## Chapter 4. LEARNING, DEVELOPMENT AND CONSTRUCTIVE DEVELOPMENTAL THEORY

### 4.1 Introduction

As outlined in chapter three, not all leaders learn at the same rate and in the same way (Day et al 2014). This chapter begins with a high level overview of learning and adult development. Constructivism is then discussed before reviewing Kegan's (1980) Constructive Development Theory (CDT), which extends Piaget's (1954) theory of child development by demonstrating how adults develop throughout their lifespan. A review of key empirical research specifically linking Kegan's (1980) Constructive Developmental Theory to leadership development is outlined before focusing on other elements important to leadership development (e.g. vertical versus horizontal development, identity development and time to develop). Finally, a summary of the chapter is provided.

### 4.2 Learning Definitions

This section highlights the importance of learning to leadership development and a sample of definitions on learning are provided. The ability and motivation to learn are important factors in developing as a leader (Day et al, 2014; Day, 2010, McCauley et al, 2006). Some scholars have stated that an individual's willingness to learn is as important to developing as a leader as challenging experiences, self-awareness and support (Day and Sin, 2011; Van Velsor and McCauley, 2004; McCauley 2001). As with leadership and leadership development, learning has evolved from a focus on an individual acquiring new knowledge, skills, or behaviours to a more social meaning where terms such as lifelong learning, adult learning and the learning organisation have emerged (Yang, 2004; Jarvis, 2003). As Table 4.1 indicates there is a high degree of variation and some inconsistency in definitions of learning. The disparity in definitions arises because of the diverse beliefs, assumptions and philosophical positions that scholars

have about learning (Yang, 2004; Illeris, 2003; Senge, 1990). Some definitions focus on learning at an individual level where it can be viewed as an internal process, while others see it as a social or organisational phenomena influenced by a person's interaction with the external environment (Schwandt, 2005; Hogan and Warrenfeltz, 2003; Illeris, 2003).

**Table 4.1 - Sample of Learning Definitions**

Author	Definition
<b>Maples and Webster, 1980, p. 7</b>	'Learning is a process by which behaviour changes as a result of experience'.
<b>Hogan and Warrenfeltz 2003, p. 76</b>	'Learning is equivalent to constructing new or enhanced mental models or a change in behaviour after an experience'.
<b>Illeris, 2003, p. 397</b>	Learning is 'all processes that lead to relatively lasting changes of capacity, whether they be of a motor, cognitive, psychodynamic (i.e. emotional, motivational or attitudinal) or social character and which are not due to genetic-biological maturation'.
<b>Schwandt, 2005, p. 178</b>	Learning is 'a human process of change that occurs as a result of the interaction the individual has with his or her environment'.
<b>Kolb and Kolb, 2005, p. 208</b>	'Learning is like breathing, it involves a taking in and processing of experiences and a putting out or expression of what is learned'.
<b>Sadler-Smith, 2009, p.4</b>	Learning is 'a longer-term change in knowledge possessed by an individual, their type and level of skill, or their assumptions, attitudes or values, which may lead to

Author	Definition
<b>Day, Harrison and Halpin, 2009, p. 8</b>	<p>them having increased potential to grow, develop and perform in more satisfying and effective ways’.</p> <p>In an organisational context learning is ‘a process to aid collective progress through the collaborative, expert and ethical stimulation and facilitation of learning and knowledge that support business goals, develop individual potential and respect and build on diversity’.</p>

Common features in the definitions of learning above include the focus on change at an individual level and the importance of experience and the interreaction of the learner with his environment. Yang (2004) identifies the philosophical foundations of learning on the basis of (a) the focus of learning, i.e. whether the focus is at the individual, social or organisational level, and (b) the purpose of learning, i.e. whether it is for the development of a person’s potential or to improve performance of tasks or roles. These differences in focus are identifiable in the definitions present in Table 4.1. These definitions also differ as they distinguish between behavioural and skills acquisition and changing mental models. For the purposes of this research, Schwandt’s (2005, p.178) definition will be used, that is, learning is ‘a human process of change that occurs as a result of the interaction the individual has with his or her environment’. This definition notes that learning is a process of change and includes interaction with the environment. For many years researchers have made a clear distinction between learning and development and this distinction will be discussed next.

### 4.3 Adult Development

Development is often identified as a deep, fundamental process, whereas learning is often viewed as superficial, simplistic and reversible (e.g. Kuhn, 2000; Zimmerman, 1995). Merriam and Clark (2006, p. 29) state that defining development ‘as change over time belies the complexity of the concept’ and ask the questions ‘what triggers change?’ and ‘what is the

process of change'? Researchers (e.g. Vincent et al, 2015; Howell and Helsing, 2014; Petrie, 2014; Brown, 2012; Kegan and Lahey, 2010; Harris and Kuhnert, 2008; Torbert, 2004; Cook-Greuter, 2004; Eigel, 1998; Kohlberg, 1969; Loevinger, 1966) contend that adult development research specifically in the field of constructive-developmentalism can provide useful insights into how adults develop as leaders. Because constructive developmental theory deals with 'within-person plasticity (malleability) in development' (Day, Harrison and Halpin, 2009, p. 32) this holds significant promise for understanding the possibilities of accelerating leadership development. A leader's ability to learn is critical to their leadership development (VanVelsor et al, 2010) and, as leaders for the purposes of this research are adults, it is appropriate to consider adult development.

Until relatively recently, circa 40 years ago, it was assumed that development stopped at adolescence (Brown, 2012; Allen and Wergin, 2009; McCauley et al, 2006). It is now recognised that leader development occurs throughout adolescence, into young adulthood, and from adulthood to old age (Day et al, 2009). Thus, leader development is about adult development. Day et al (2009) note that while this is recognised implicitly, they believe that there is a need to make the connection between leader development and adult development more explicit. There is a growing literature linking adult development to the development of leaders (e.g. Petrie, 2014; Vincent et al, 2015; Howell and Helsing, 2014; Day et al, 2014; Kegan and Lahey, 2010; Harris and Kuhnert, 2008; McCauley et al, 2006). Antonacopolau and Bento (2011, p.74) state that 'leadership is learning' and highlight that leadership and learning are processes of *being* and *becoming*. For this reason, constructivism and Constructive Developmental Theory (CDT) will be reviewed in more detail.

#### 4.4 Constructivism

According to constructivist theory, knowledge, meaning and understanding are 'individual constructions of reality' and 'knowledge is constructed rather than discovered' (Stake, 1995, p. 99). Learning is considered to be the result of an individual's mental construction and focuses on knowledge construction, not knowledge reproduction (Kegan, 1980; Vygotsky, 1978). It is a belief that one constructs knowledge from one's experiences, mental structures and beliefs and that this knowledge is used to interpret objects and events. An individual's view of the external world differs from others because of their unique set of experiences. While there are various schools of thought within constructivism, the two major theoretical approaches are cognitive constructivism and social constructivism.

Cognitive constructivism is concerned with how the individual learner understands things while social constructivism refers to an individual's meaning-making or sense making of knowledge within a social context (Vygotsky, 1978). Piaget (1954) developed the theory of cognitive constructivism based on his views about the psychological development of children, as did and Vygotsky (1978) with social constructivism. According to Piaget (1970, p. 1), genetic epistemology 'attempts to explain knowledge, and in particular scientific knowledge, on the basis of its history, its sociogenesis, and especially the psychological origins of the notions and operations upon which it is based'. Piaget (1970) believed he could test epistemological assumptions by studying the development of thought and action in children. Piaget's theory espouses that children actively construct their understanding of the world and go through four stages of cognitive development. Piaget proposed a theoretical framework for learning through a process of adaptation based on these four stages: (1) sensorimotor, (2) pre-operational, (3) concrete-operational, and (4) formal-operational. Piaget (1954) first emphasised the process of conceptual change as interactions between existing cognitive structures and new experiences. The focus of the present research is on cognitive constructivism. Over time, Piaget's theory has been further developed by other theorists (Kegan, 1980; Torbert; 1987; Loevinger, 1976;

Kohlberg, 1969) and each have defined stages in adult development using a constructive developmental approach which will be discussed next.

#### 4.4.1 Constructive Developmental Theory (CDT)

Constructive developmental theorists believe that there are important patterns in the way adults mature such that earlier ways of meaning-making are integrated into more comprehensive and complex ways of meaning-making (e.g. Helsing and Howell, 2014; Kegan and Lahey, 2010; McCauley et al, 2006; Moshman, 2003). This meaning-making process is understood by how people construct understanding about their experiences (Bugenhagen and Barbuto, 2012). According to Kuhnert and Russell (1990), Constructive Developmental Theory is based on two assumptions:

- a) That previous life experiences influence present behaviours;
- b) That leaders do not simply react to certain situations but rather extract meaning from prior life experiences and that it is this meaning which influences subsequent personal characteristics, behaviours and outcomes.

McCauley et al (2006) completed a review of the constructive-developmental frameworks of Kegan (1982), Torbert, (1987), Kohlberg (1969) and reviewed how CDT has been applied in the theoretical and empirical literature on leadership. As with other scholars (Northouse, 2016; Day et al, 2014; Dionne et al, 2014; Avolio, 2009), they conclude that leadership is a complex social phenomenon with a wide range of concepts and theoretical approaches. Various scholars (e.g. Torbert, 2004; Kegan, 1980; Loevinger, 1976; Kohlberg, 1969) have defined different stages within Constructive Developmental Theory. Valcea et al (2011) note there are four main facets of development that each of these stage theories espouse: (1) cognitive style i.e. the manner in which individual gain, store analyse and integrate information; (2) interpersonal orientation i.e. the view an individual has of his or her relationship to others and how they understand that

relationship; (3) conscious preoccupation i.e. the thoughts and motives which dominate an individual's mind and behaviour; and (4) mode of ethical judgement i.e. the way individuals make moral or ethical judgements and control impulse. As individuals move from one stage to the next, each of these facets becomes more complex and provides a broader methodology for understanding individuals and the world around them. McCauley et al (2006) note that there is some agreement that three broad successive orders of development exist for describing meaning-making capabilities in adults. These are: (1) dependent – where individuals have a sense of self that is derived from their connection to others; (2) independent – where individuals rely on their own internally generated values and standards to guide them; and (3) inter-dependent – where individuals view the world as a mutually transforming system (as opposed to polarities or dichotomies) and are focused on self-exploration. These orders, as described by McCauley et al (2006), correspond to Kegan's (1982) socialised, self-authoring, and self-transforming stages of development. Kegan's theory will be reviewed next before comparing it to other frameworks.

#### 4.5 Kegan's Constructive Developmental Theory (CDT)

As outlined earlier, Kegan's (1980) Constructive Developmental Theory has been recently linked to leadership development and several scholars (e.g. Day et al, 2014; Petrie, 2014; Harris and Kuhnert, 2009; McCauley et al, 2006) have noted the potential of this theory for future research in leadership development. Since 1980, Kegan and Lahey have researched the development of mind-sets and mental complexity in adults (Kegan and Lahey, 2009; Kegan and Lahey, 2001, Kegan, 1984). Day et al (2009) suggest that adult leader development is a life-long process in which experiences, rather than biological changes, spur change and growth. Kegan's theory is based on the transformation to qualitatively different stages of meaning-making for adults. For Kegan (1994, p. 17), transformative learning happens when individuals change 'not just the way they behave, not just the way they feel, but the way they know—not just what they know, but the way they know.' Kegan's (1980) theory has been found to be

particularly insightful when applied to leadership development research (e.g. Helsing and Howell, 2014; Bugenhagen and Barbuto, 2012; Zintel, 2012; Strang and Kuhnert, 2009; Harris and Kuhnert, 2008; Eigel, 1998). However, as noted earlier Day, Harrison and Halpin (2009) state it has been applied in a relatively limited way and Day et al (2014) suggest that researchers need to give serious thought to what is hypothesised to develop as a function of leader or leadership development in a given context. They suggest that this may involve human capital variables such as psychosocial or constructive developmental stage and that adopting this as an outcome (in place of job performance) in future research is important. Further, Bugenhagen and Barbuto (2012) note that capturing the transitions between constructive developmental stages is important as development occurs during periods of stability and change which is measured via the change in Subject-Object relations.

#### 4.5.1 The Concept of Subject-Object

Kegan (1982) uses two internal structures to define each constructive-developmental stage, which he refers to as the 'Subject' and the 'Object'. The Subject is the process through which individuals organise and understand their experience; it is the lens through which the world is viewed and the rule by which it is defined (Kegan, 1982). Things that are Subject to an individual cannot be seen because they are a part of them. Because they cannot be seen, they are taken for granted, recognised as true, or not even recognised at all. Berger and Atkins, (2009) state that the most profound example of a move from Subject to Object is when entire meaning-making systems move from what was once an unselfconscious lens through which the person viewed the world to something that can be seen and reflected upon. For example, while a manager may need to delegate to be successful in their role, they may struggle to do this because of a deeply held belief that a strong work ethic based on 'hard work' is central to their success (i.e. they are subject to these beliefs). It is only when they can reflect on these beliefs and come to understand them that they then become object and the capacity for meaning-making develops.

The Object is the content of the experience that is organised and understood by way of the Subject (Kegan, 1982). As individuals develop from one developmental stage to the next, what was previously Subject becomes Object. This means that individuals gain the ability to take perspective on what was previously an organising process. As Kuhnert and Russell (1990, p. 599) explain, 'individuals are able to see and reflect upon the way that they previously organised their experience, rather than being defined by it'. Kegan (1994, p.32) states that 'things that are Object in individuals' lives are those elements of our knowing or organizing that we can reflect on, handle, look at, be responsible for, relate to other [things], take control of, internalize, assimilate, or otherwise operate upon'. Kegan and Lahey (2009, p. 51) suggest that 'if we want to increase mental capacity, we need to move aspects of our meaning-making from Subject to Object, to alter our mind-set so that a way of knowing or making meaning becomes a kind of 'tool' that we have (and can control or use) rather than something that has us (and therefore controls and uses us)'.

Kegan's stages of development are described in the next section.

#### 4.5.2 Kegan's Stages of Development

As noted earlier, Kegan (1980) developed a stage framework of 'perspective taking' representing successively broader ways of constructing meaning. Each stage is associated with changes in the underlying structure that individuals use to make meaning of their world (i.e. their values and beliefs). These meaning-making systems are qualitatively different from each other, and each has its own distinct logic (Kegan et al, 2001). In Kegan's earlier work, the latter stages or orders are referred to as institutional and interindividual (Kegan, 1980) and in later work as self-authoring and self-transformational (Kegan, 2009). These stages are described next.

- *Stage 0 and Stage 1 (Incorporative and Impulsive Stages)*

Stage 0 (incorporative) and Stage 1 (impulsive) are viewed as stages that individuals reach during childhood. Stage 0 (from birth to 21 months) is a developmental stage where children begin to conceptualise physical objects as separate from themselves. Between 21 months and 7 years of age children develop through stage 1 (impulsive), where they view the world as revolving around their desires and impulses. Children at this stage are often said to lack impulse control because 'the child *is* his or her impulses and perceptions' (Kegan, 1980 p. 376)

- *Stage 2 (Instrumental Stage)*

Between 6-15 years of age individuals tend to develop to Stage 2 (instrumental stage), where their behaviour is governed by their needs, interest and desires. These needs are referred to as *subject* because individuals are subjected to these forces. During this stage people will define other individuals by how each can assist them. They do not incorporate the perspectives of others into their own viewpoint.

- *Stage 3 (Socialised Stage)*

Kegan does not apply age criteria beyond Stage 2, but asserts that Stage 3 development can occur in early adulthood. At this stage of development (socialised stage), individuals have mutual relationships in which they can modify or defer their personal needs to take into consideration the needs and interests of others. At this stage, others' perceptions of oneself become very important and criticism can often be conceptualised as a threat to relationships. During this stage, because of the increased awareness of others' needs, desires and expectations, an individual will also display empathy and reciprocity.

- *Stage 4 (Self-authoring Stage)*

Development to Stage 4 (self-authoring stage) can occur at any stage in adulthood, however Kegan believes that some individuals will never progress to Stage 4. At this

stage, individuals engage in more independent thinking and have an ability to challenge rather than automatically follow others' expectations and demands. This independent thinking stems from a system of values and principles which govern how an individual lives. Kegan suggests that at Stage 4, individuals often tend to define themselves in terms of work, roles, duties and career.

- *Stage 5 (Self-transformational Stage)*

The final stage in Kegan's framework is the self-transformational stage, at which point individuals have the capacity to accommodate more than one ideology and are not threatened by criticism. According to Bartone et al (2007, p. 494) at Stage 4 'there is no self that is separate from the internal operational rules and roles established by the person, at stage 5 the self has separated from these rules and roles such that it now can examine and evaluate them more 'objectively' as outside entities'.

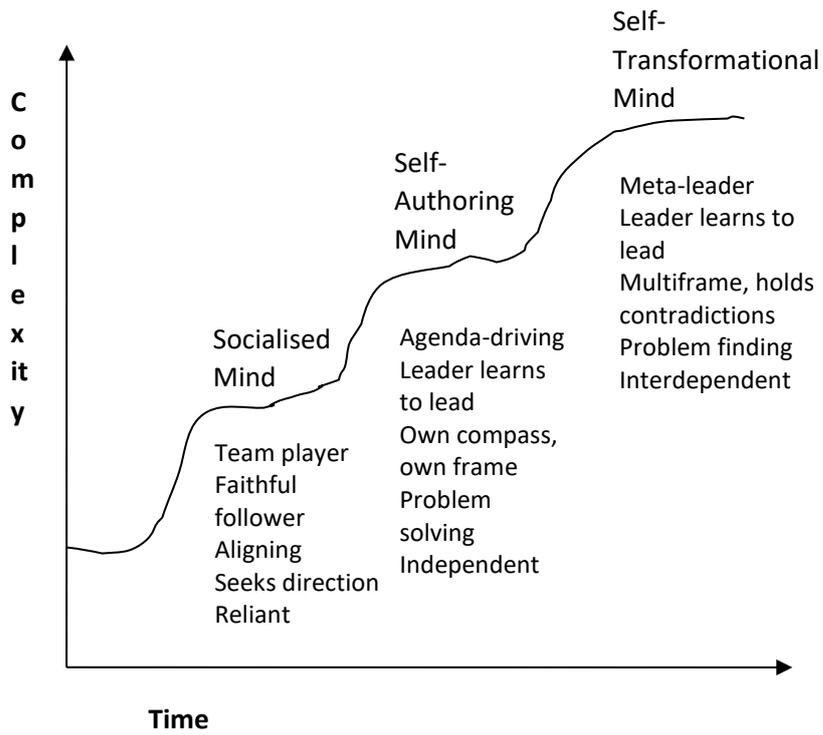
While the above stages occur in sequential order, the later stages are not linked to age, nor will adults necessarily reach later stages. In fact, research indicates that only 20-30% of adults will reach Stage 4 (Petrie, 2014; Kegan and Lahey, 2009; Erickson, 2006). In addition, there are vast transitional points between each stage and adults will spend their time in transition between the various stages holding onto the former stage while experimenting with moving to the next stage. Overall growth of an individual is achieved in the transitional points between stages (i.e. in the movement from Subject to Object). Table 4.2 notes the transition from one stage to the next and demonstrates that what once was Subject becomes Object at the next stage. While transitioning between stages, adults will hold onto the current stage and experiment with the next. It is during this experimentation that a person will face challenges and perhaps struggle while taking on board a new way of making meaning.

**Table 4.2 - Progression of Subject and Object Relationship (Phipps, 2010)**

Stage	Subject	Object
1. Impulsive	Perceptions, immediate needs, feelings	Reflexes
2. Instrumental	Personal goals and agendas	Perceptions, immediate needs, feelings
3. Socialised	Interpersonal connections, mutual obligations	Personal goals and agendas
4. Self-authoring	Personal standards and value system	Interpersonal connections, mutual obligations
5. Self-transformational	Interpretation of systems	Personal standards and value system

Kegan and Lahey (2009) posit that the three adult meaning systems - the socialised mind, the self-authoring mind and the self-transformational mind - operate in profoundly different ways over time and, as these change, an individual's mind becomes more complex and hence more capable of higher performance. Kegan and Lahey (2009, p. 21) state that 'these formal mental properties translate into real actions with real consequences for organizational behaviour and work competence. The implication is that a higher level of mental complexity outperforms lower levels'. Kegan and Lahey (2009) identified three plateaus in adult mental development, which are of relevance to the present research. These are significant because as mental complexities develop, it is possible for leaders to move from one level of development to the next and, in turn, deliver higher performance thus having a positive impact on business effectiveness (Kegan et al, 2016). Figure 4.1 demonstrates the expected changes in development over time from one level to the next.

Figure 4.1 - The plateaus in adult mental development (Kegan and Lahey, 2009)



#### 4.6 Comparison of Kegan's framework to other frameworks

There are a number of frameworks that are similar to Kegan's (1980) constructive developmental theory; Loevinger's (1976) framework of ego development; Torbert's (2004) action logics theory; and Kohlberg's (1958) theory on cognitive moral development. These frameworks are all stage theories of development and can be compared to Kegan's theory of development. Table 4.3 provides an overview the key focus of each theory, the number of stages and how they align with one another as well as outlining the key research method or measurement method for each stage theory.

**Table 4.3 - Comparison of Kegan's stages to other stage theories**

Theorist	Torbert (2004)	Kegan (1982)	Loevinger (1976)	Kohlberg (1958)
<b>Key Focus of Theory</b>	<b>Action Logics</b>	<b>Mental Complexity</b>	<b>Ego Development</b>	<b>Cognitive Moral Development</b>
<b>Number of Stages</b>	9 Stages 1. Impulsive 2. Opportunist  3. Diplomat 4. Expert  5. Achiever 6. Individualist  7. Strategist 8. Alchemist 9. Ironist	5 stages  Stage 1 – Impulsive Stage 2 - Instrumental   Stage 3 – Socialised   Stage 4 – Self-Authoring   Stage 5 - Self Transformational	9 Stages 1. Presocial 2. Impulsive  3. Self-protective  4. Conformist 5. Self-Aware  6. Conscientious 7. Individualistic  8. Autonomous 9. Integrated	3 Levels with 6 Stages  <b>Level 1: Pre-conventional</b> 1 - Obedience and Punishment 2 - Individualism, Instrumentalism and Exchange  <b>Level 2: Conventional</b> 3 - Mutual Expectations 4 - Law and Order  <b>Level 3: Post-conventional</b> 5 - Social Contracts  6 - Universal Principles
<b>Research/ Measurement Method</b>	Leadership Development Profile (Sentence Completion Form)	Subject Object Interview (SOI)	Washington University Sentence Completion Test (WUSCT)	Moral Judgment Interview

The use of Kegan's (1980) theory for this study over the other stage theories outlined above can be justified. McCauley et al (2006) explored and validated Kegan's research by examining the application of CDT with leadership literature. They confirmed that Kegan's CDT could be used as a means of understanding and designing leader development practices but stated that 'no research examines the features of these interventions that support development or whether using these designs lead to increased developmental movement' (p. 642). Subsequently, Day et al (2014) provided a comprehensive review of the leader development literature and they too concluded that Kegan's (1982, 1994) CDT should be used to understand what is developed as a function of leadership development in a given context.

Kohlberg's (1958) theory on cognitive moral development is more narrowly focused on a person's cognitive ability to reason about moral dilemmas (McCauley et al, 2006) and was not applicable to this study as the leadership development programme was not designed to enhance moral development specifically. Loevinger's (1976) ego development is measured using the Washington University Sentence Completion Test (WUSCT) and while widely used in the field of personality, McCauley et al (2006) note that until Torbert and his colleagues began using the WUSCT, it was rarely used in the study of leadership and organisations. Reams (2014) notes that criticism over the use of the WUSCT has focused on two main areas; (1) dependence on linguistic articulation as the only means of being able to assess an individual with this measure (Reams, 2014). In addition, it is a written response, not allowing for inquiry and clarification of meaning that other forms of assessment enable. (2) it has been criticised, alongside Kohlberg's (1958) work, as confusing content with structure. In contrast, the assessment of Kegan's (1984) stages of constructive development are measured using the Subject Object Interview (SOI) which was developed by Lahey et al (1988). The SOI does not rely solely on written responses, but engages people in a conversation in which they are encouraged to reveal the structure of their meaning-making by explaining their responses to specific probes (Reams, 2014). Torbert (2004) extended and refined Loevinger's (1976) framework and developed the framework of action logics as outlined in Table 4.6. McCauley et al (2006) note that while the framework has been used extensively in consulting interventions

by action inquiry practitioners, the model has not been widely tested in the organisational development field. Torbert's (2004) LDP measure is based on a sentence completion test similar to Loevinger (1976) test and thus criticisms as noted above equally apply to Torbert's (2004) framework.

Day et al (2014) state that CDT could be used to examine different individual developmental trajectories to better understand how leaders develop and change. Berger and Atkins (2009) note that the use of Kegan's theory offers both a description of the different stages of development and also the processes through which movement occurs between stages. They further note that the Subject Object Interview (SOI), the research method used to measure Subject Object relations, tends to be an enjoyable experience for participants, which in itself, may lead to important insights. Others (e.g. Berger, 2003) have noted criticisms of Kegan's CDT as being hierarchical (i.e. Kegan uses numbers to describe the stages). However, she notes that while it is hierarchical, it is not simplistically so, and the numbers reflect a journey that people are on as there is no stage that is inherently better than any other stage. The SOI method for assessing constructive developmental stage has also been noted to be intensive and arduous to learn and time consuming to score (Berger and Atkins, 2009). Helsing and Howell (2014, p. 3) state that Kegan's (1982, 1994) theory is 'unique in drawing a clear distinction between the deep underlying structure of an adult's meaning system rather than the contents of that system'. Given the highlighted benefits of Kegan's Constructive Developmental Theory, it will be reviewed in more detail.

#### 4.7 CDT and Time

Figure 4.2 identifies time as a factor in constructive developmental changes. Kegan and Lahey (2009) are not alone in identifying time as an important factor in development. In a year-long study of research and development teams, Hirst et al (2004) found that team leaders learn from challenging work, solving complex problems and from leading a team. They reported a time lag ranging from 4 months to 8 months in leadership learning. The authors surmised that this may

'reflect the interval between gaining new insight and grasping an understanding of how best to translate this knowledge into leadership behaviour' (p 322). Day et al (2014) suggest that the nature of studying leadership development 'involves mapping and understanding within- and between-person change patterns...over time' (p.65). In the management literature, the concept of time has been recognised as playing a role in explanations of organisational activity and strategic management (Bluedorn and Denhardt, 1988). Shamir (2011) argues that much of the dominant leadership theories, which propose that certain leadership inputs produce certain leadership outputs, do not take into account time as a variable for analysis. This, Shamir claims, does not make sense as the majority of leadership change takes place over time. He argues that more research is needed regarding the effectiveness of team training, as well as on-the-job experiences and developmental relationships. While time is important for leadership development, it is not the only factor in development. Another important factor identified is that of identity development, which is described in the next section.

#### 4.8 CDT and Identity Development

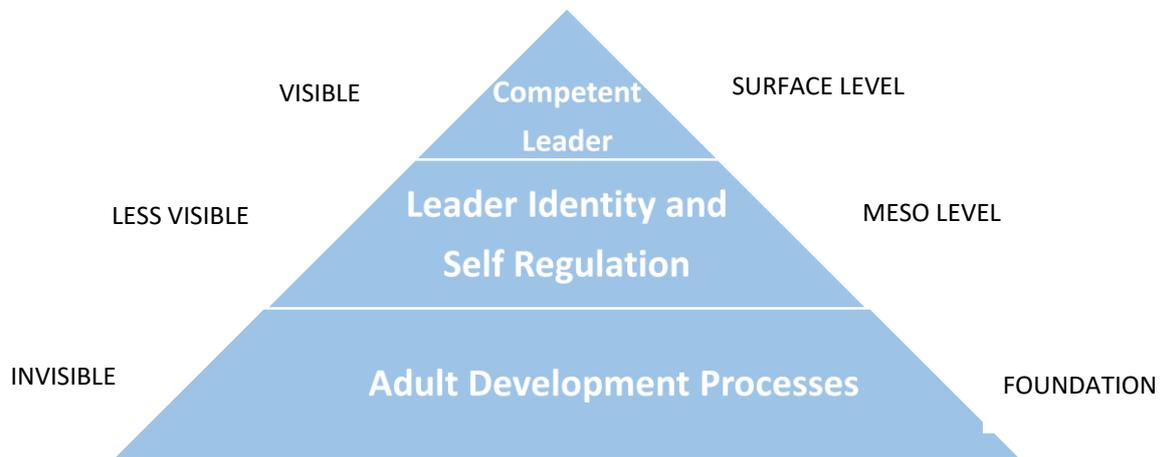
Identity is defined by Burke (1991, p.837) as 'a set of meanings applied to the self in a social role or situation defining what it means to be who one is'. Helsing and Howell (2014) refer to identity as one's self-concept, which develops over the course of the life span. Ashforth et al (2001) note that an individual can have multiple identities depending on the context they are operating in, particularly where an organisation is large and complex. They outline how a manager on a task force introducing organisational change may have various identities (e.g. manager, employee, departmental head and employee representative). Day and Harrison (2007, p.365) highlight that leader identity is 'a subcomponent of one's identity that relates to being a leader or how one thinks of oneself as a leader'. Bosma and Kunnen (2001) conducted an extensive review of identity development and concluded that there were three important determinants of development: (1) openness to experience and change in the individual; (2) context in terms of support and opportunities for growth; and (3) the outcome of previous

development. They further suggest that development is an iterative process of conflict and resolution between an individual's commitments and information from the environment. Lord and Hall (2005) suggest that as leaders develop, their identities shift in focus from individual (i.e. me), to relational (i.e. you and me), to collective (i.e. all of us) levels, which corresponds closely to Kegan's (1982) constructive developmental stages of development.

Day and Sin (2011) investigated the leadership development trajectories of 1,315 students participating in a leadership and teambuilding course at a university in the Pacific Rim. The participants were placed in 205 action learning teams and their leader identity, goal orientation, leadership effectiveness and adult development processes (i.e. selection, optimization and compensation) were measured at the outset of the programme, during the programme and on completion of the programme. Selection refers to the selection of domains (goals) of functioning from alternative possibilities; optimization involves allocating and refining internal and external resources (e.g. money, time, effort) as a means of achieving higher levels of function and compensation refers to using alternative means or substitute processes to maintain a given level of functioning (Freund and Baltes, 2002). Their findings showed that the stronger individuals identified with being a leader, the stronger the overall independent perception of demonstrated leadership effectiveness over time (i.e. within person effect). They suggest, as do DeRue and Ashford (2010), that having a leader identity is important to facilitate the development process of leaders. They suggest that this identity contributes to a spiraling effect, that is, that holding a relatively strong identity as a leader motivates a person to act in a more leader-like way, which in turn makes the leader more likely to seek out opportunities to practice leadership and thus enhance their development. In this way, individuals can spiral up or down with the overall pattern suggesting enhanced leader identity. Day and Sin (2011) suggest that future studies should consider the influence of individual differences, such as self-regulation strength, self-efficacy, self-esteem and self-awareness, on leader development. They also suggest that the predictors of developmental trajectories related to leader effectiveness might be different to those that predict trajectories of leader emergence. Day et al, (2009, p.xiii)

propose that leader development will occur at multiple levels ‘in an ongoing dynamic fashion across the lifespan’. Figure 4.2 outlines the levels of supporting processes in leader development.

**Figure 4.2 - Levels of supporting processes in leader development (Source: Day and Sin, 2011)**



#### 4.9 CDT and Leadership Development

Empirical evidence suggests that CDT is beneficial to understanding and advancing leadership development. Several studies have demonstrated a link between constructive developmental stages and leader performance (Helsing and Howell, 2014; Strang and Kuhnert, 2009; Bartone et al, 2007; McCauley and Van Velsor, 2004; Eigel, 1998; Amey, 1991). Eigel (1998) assessed the mental capacity of 21 CEO’s and 21 middle managers of large, successful organisations with an average revenue of \$5billion. He used the SOI and other performance assessments to evaluate a CEO’s effectiveness across a number of factors including their perceived ability to: (a) challenge existing processes, (b) inspire shared vision, (c) manage conflict, (d) solve problems, (e) delegate, (f) empower, and (g) build relationships. He found a correlation between increased mental complexity and business effectiveness. In later research, Eigel and Kuhnert (2005) demonstrate that Leadership Development Level (LDL) is a measurable characteristic that is characteristic of effective leaders. They found that individuals who lead from higher levels are more effective in a number of leadership competencies (e.g. leading change, managing

performance, creating a compelling vision). Eigel and Kuhnert (2005) argue that 'until we target the goals of a leadership development program to the leader's developmental capacity to lead, we will not equip companies to meet the demands of this new century' (p.27).

Strang and Kuhnert (2009) conducted an empirical investigation to examine Constructive Developmental Theory as a framework for understanding leadership and as a predictor of 360-degree leader performance ratings. Specifically, they tested Leadership Developmental Level (LDL) as a predictor of leader performance and also compared the predictive ability of CDT compared to the Big Five personality dimensions using data from 67 management executives participating in an executive development program through a consulting firm in the US. The programme was designed to increase self-awareness and develop general leadership skills. They found that LDL predicted leader performance as reported by all 360 degree rater sources combined and also separately by superior, peer and subordinate raters. They also found that LDL appeared to capture an aspect of leadership distinct from and above and beyond that which is attributable to personality (they did not find support for extraversion or openness to experience as predictors of leader performance). They concluded that their study 'consistently demonstrates the empirical legitimacy and potential utility of CDT as a framework for understanding the nature and structure of leadership' (p.432). They suggest that future studies should attempt to demonstrate the utility of CDT in the workplace and that, at an individual level, CDT should be considered as a leadership development tool. Bartone et al (2007) conducted research on cadets at the United States Military Academy (USMA) in West Point over a three to four year period. They examined the underlying processes of psychosocial development and their possible relationship with leader development and performance among military officers. Noting that Kegan (1980) emphasises both psychological and social factors in development, Bartone et al (2007) refer to CDT as a psychosocial state. They used the Subject Object Interview to assess developmental stages with over 50 cadets as part of a larger longitudinal study of leader development at West Point. Their findings showed significant positive developmental growth over time for 47% of the cadets

with most of this growth occurring from sophomore to senior year. Further, they found that the advanced developmental stage (psychosocial development), as measured by Kegan's SOI, predicted several peer, subordinate and supervisor ratings of cadet performance as leaders during future years. They state that their findings provide support for Kegan's CDT and suggest that greater attention be paid to the basic processes of human psychosocial development that can influence leader performance. Day et al (2014) note that this is one of the few empirical studies demonstrating change in the constructive developmental levels of participants and call for more research using CDT within leadership development research.

Table 4.4 below provides a summary of some of the empirical studies into leadership and leadership development using CDT in a variety of settings since the 1990's. Their findings indicate that there is clear justification for applying CDT to the study of leadership development.

**Table 4.4 - CDT and Leadership Research**

Researcher	Year	Sector	Research Method	Purpose of Research	Findings
Amey	1991	Public sector – Liberal Arts Colleges	Interviews – 5 colleges	To determine the leader's developmental level, the organisation's developmental level, and the leader's perceived effectiveness.	Results confirm that constituents can only perceive leadership effectiveness within a particular frame of reference determined by their cognitive development level.
Benay	1997	Food distribution	SOI <sup>1</sup> and MLQ <sup>2</sup> and Defining Issues Test  8 leaders	Determine the range of transformational abilities.	Suggested a relationship between the cognitive developmental level of the leaders and their transformational leadership abilities.
Eigel	1998	Various	SOI  21 CEO's and 21 middle managers	Examined the stage of Development of CEO's and Managers.	CEOs and Managers operating at later stages of development were more effective business leaders.
Van Veslor and Drath	2004	Various	SOI – 25 leaders	Examined leaders at dependent and independent orders.	Found that individuals operating from the Dependent order and those operating from the Independent order experienced different elements of leadership roles as challenging.

<sup>1</sup> SOI= Subject Object Interview

<sup>2</sup> MLQ = Multifactor Leadership Questionnaire

Researcher	Year	Sector	Research Method	Purpose of Research	Findings
Eigel and Kuhnert	2007	Various – telecoms, finance, non-profit	SOI and 360-degree feedback scores collected 74 executives	Examined the relationships between leadership development level (LDL) and leadership effectiveness utilizing 360-degree feedback scores of individuals enrolled in an executive leadership development program.	Analysis revealed that LDL predicted leadership effectiveness across a number of sources including superiors, subordinates, and peers.
Harris and Kuhnert	2008	Various	SOI and 360 degree 41 executives	Examined the relationship between the executives' order of development and the ratings they received on a 360-degree feedback instrument.	Order of development predicted the average ratings (across all raters) executives received on seven of the eight dimensions assessed by the instrument
Bartone et al	2007	Military Service (Public Sector)	SOI and MD <sup>3</sup> and CPR <sup>4</sup> Longitudinal study over 4 years with cadets.	Examined the underlying processes of psychosocial development and their possible relation to leader development and performance for military officers.	Their findings lend support to Kegan's theory and suggest greater attention be paid to psychosocial development.

<sup>3</sup> MD is Military Development grade i.e. the overall performance rating as a leader in fulfilling military training requirements

<sup>4</sup> CPR is Cadet Performance Report which contains ratings made by supervisors, peers and subordinates on several leadership qualities.

Researcher	Year	Sector	Research Method	Purpose of Research	Findings
Strang and Kuhnert	2009	Professional Services - Consulting	SOI and PLP <sup>5</sup> 67 executives	Examined the difference in leader performance as a function of LDL and LDL was tested as a predictor of leader performance	LDL emerged as an important predictor of leader performance.
Berger and Atkins	2009	Variety of industries	SOI with 15 managers/senior executives	Explored the use of the SOI as a coaching tool.	2 key implications for coaching practice – coaching mind-set and coaching technique.
Mumma	2010	Education – college	SOI and LMX-MDM <sup>6</sup> 8 Presidents and 29 student officers	Investigated if higher constructive developmental stage would offer higher quality Leader Member Exchange (LMX) relationship.	Findings did not support the hypothesis that a President with higher CDT stage would have better LMX relationship with student officers.  Findings supported that increased age correlated with an increase in constructive developmental stage.
Bugenhagen and Barbuto	2012	Community and Education	SOI 53 executives	Field study that tested the relationship between CDT level and sources of work motivation.	Results indicated that constructive development progression was significantly related to instrumental motivation and that the four other sources of work motivation exist independently of constructive developmental level.

<sup>5</sup> PLP is Personality Leadership Profile a leadership instrument used to measure personality

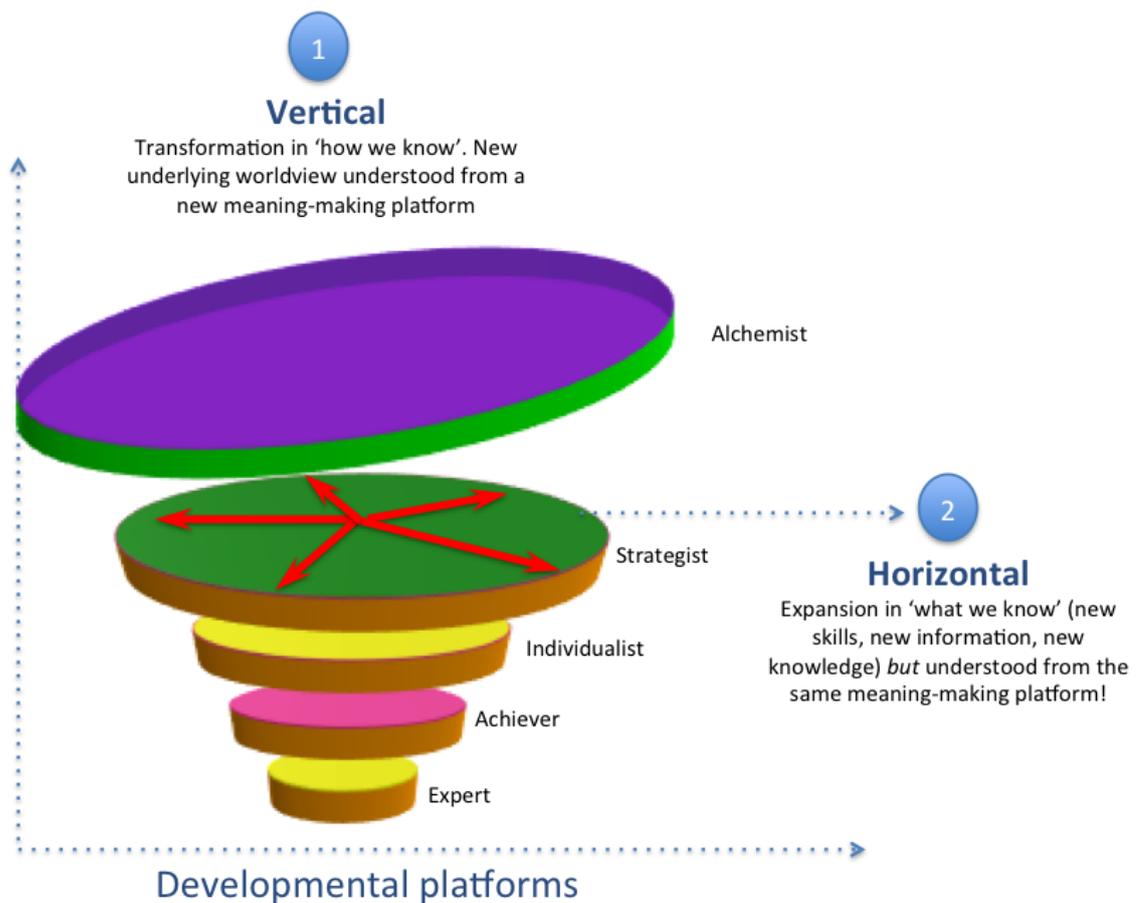
<sup>6</sup> LMX-MDM is the Leader Member Exchange Multi-Dimensional Measure used to measure the quality of leader-subordinate relationships

Researcher	Year	Sector	Research Method	Purpose of Research	Findings
Zintel	2012	Leadership programme offered by Cranfield University, UK	Semi-structured interviews 9 executives	Explored how participants construct change and to understand the implications of change for their own leadership practice.	In all nine cases change occurred and in 5 cases (out of 7) personal development as well as expansion of leadership capabilities were found.
Howell and Helsing	2014	Non-profit - international institution for public-private cooperation	SOI 11 Fellows at the World Economic Forum	Explored the value for the organisation of measuring mental complexity.	Noted the importance of using a developmental assessment that can provide rich and nuanced data as a tool for leader development.

#### 4.10 CDT and vertical versus horizontal development

An important feature of CDT theory is the distinction that it makes between vertical and horizontal development (Vincent et al, 2015; Petrie, 2014; Brown, 2012; Day and Sin, 2011; Harris and Kuhnert, 2008; Cook-Grueter, 2002). Horizontal development is concerned with content and what we know, while vertical development is concerned with how we know it (Harris and Kuhnert, 2008). Cook-Greuter (2002) describes horizontal development as the gradual accumulation of new knowledge, new skills and experience, which can occur without any fundamental change in the individual's overall meaning-making, epistemology or worldview. However, vertical development which is a much rarer form of development, entails a complete transformation in the individual's meaning-making and in their overall view of reality, which in turn transforms what they think, how they feel and what they do. Petrie (2014) notes that horizontal development will continue to be an important feature in leadership development, however, it cannot be relied on as the only means of such development. He proposes that future leadership development initiatives will need to incorporate vertical development if leaders are to have the capabilities to lead in an increasingly complex world. He also highlights that organisations with leaders at higher levels of development will have an important advantage over those that do not have such leaders. The distinction between vertical development and horizontal development aligns with Heifetz, Grashow and Linsky's (2009) view on adaptive versus technical challenges. Heifetz, Grashow and Linsky (2009) termed technical challenges as challenges that attempt to fix ordinary changes within a system, while essentially keeping the system as is. He defined adaptive challenges as involving a disparity between values and circumstances, which often requires that people change their values and take action to clarify values. Strang and Kuhnert (2009) argue that the constructive developmental approach is more vertical than horizontal. Cook-Greuter (2004) and Kelly (2013) describe horizontal development as being an expansion of an existing platform and vertical development as being the elevation to a new platform with the new vertical platform transcending and including the old one (see Figure 4.3).

**Figure 4.3 - Vertical and Horizontal Development (Source: Kelly, 2013)**



Hunter, Lewis and Ritter-Gooder (2014) propose that CDT can be used to identify stages of vertical development among leaders and to better understand factors that contribute to movement from one stage to the next. Day and Dragoni (2015) similarly highlight that few studies have been conducted on more holistic forms of leader development (i.e. addressing the dynamic underlying developmental movement). They advocate for further conceptual and empirical work to better integrate developmentally based perspectives on the how and why of individual leader development. Hunter, Lewis and Ritter-Gooder (2014) suggest that authentic leadership most closely resembles the post-conventional Stages 4/5 (Individualist), 5 (Strategist), and 5/6 (Alchemist/Magician) of development as defined in Torbert's action logics framework of development outlined earlier in the chapter. Strang and Kuhnert (2009) state that further research using CDT within other streams of leadership research is required in order to form a more cohesive body of knowledge regarding how CDT enhances

understanding about leadership development. Bugenhagen and Barbuto (2012) make a similar suggestion following on from their field study investigating constructive developmental levels and sources of work motivation. Similar to Hunter, Lewis and Ritter-Gooder (2014), they suggest that future research should link CDT with leadership constructs such as transformational, authentic or servant leadership.

In conclusion, and in light of this review of the literature on leadership theories, leadership development and CDT, the following questions were posited for this study:

**Question 1:**

- Will individuals participating in a leadership development programme develop from one transition point to another transition point, as measured by Kegan's constructive developmental stages?

**Question 2:**

- Which elements (if any) of the leadership development programme will contribute to a participant's development?

**Question 3:**

- Will a more advanced constructive developmental level, as measured by Kegan's constructive developmental stages, provide evidence of the development of authentic leadership?

#### 4.11 Chapter Summary

This chapter started by outlining the importance of learning to leadership development before then focusing on adult development. An overview of constructivism was provided followed by an outline of Constructive Developmental Theory (CDT; (Kegan 1980, 1982, 1984). CDT was then reviewed followed by an overview of other constructive developmental theorists whose

stage theories were also described. A key feature of these stage theories was the importance attributed to the notion of vertical development versus horizontal development, as well as time. Empirical evidence linking CDT to leadership and leadership development was then highlighted. It was also highlighted that there is a need to add to the body of empirical research that has been undertaken and there is a need to map developmental trajectories of leaders participating in leadership development initiatives. Overall, the process of leadership development is a dynamic process and by applying CDT to leadership development, a better understanding of not only *what* leaders learn but *how* they learn will be gained.

## Chapter 5. RESEARCH METHODOLOGY

### 5.1 Objectives of the Chapter

This chapter describes the research methodology that was utilised in the study. It first provides an outline of the aims of the research. It then provides an overview of the philosophical approaches to research before outlining the philosophical foundations of this research. The chapter then describes the research design and the research measure utilised during the research i.e. the Subject Object interview (SOI). Finally, an overview of the research setting and the profile of the study's population is provided.

### 5.2 Aims of the Research

The purpose of the study is to assess the constructive developmental level of leaders in a financial services organisation and to assess whether there is any change in developmental levels for participants in a leadership development programme using the Subject Object Interview (SOI). The key questions the research focuses on are:

#### **Question 1:**

- Will individuals participating in a leadership development programme develop from one transition point to another transition point, as measured by Kegan's constructive developmental stages?

#### **Question 2:**

- Which elements (if any) of the leadership development programme will contribute to a participant's development?

#### **Question 3:**

- Will a more advanced constructive developmental level, as measured by Kegan's Constructive Developmental stages, provide evidence of the development of authentic leadership?

In the next section of this chapter an overview of the philosophical approaches to research will be outlined and, more specifically, the philosophical foundations of this research will be described.

### 5.3 Philosophical Approaches to Research

The term paradigm can be defined as 'a cluster of beliefs and dictates which for scientists in a particular discipline influence what should be studied, how research should be done and how results should be interpreted' (Bryman et al, 1988, p.4). According to Guba (1990), paradigms can be characterised through their *ontology* (i.e. *what is out there to know?*), *epistemology* (i.e. *how do we know what we know?*), and *methodology* (i.e. *how do we acquire knowledge?*).

Cohen and Manion (1994) describe two broad paradigms or dimensions in research: objectivist (or 'normative') and subjectivist (or 'interpretive'). These perspectives relate to general assumptions about the nature of science. The objectivist perspective views human behaviour as essentially rule-based and requiring investigation by methods from the natural sciences. Conversely, the subjectivist perspective begins with the individual and sets out to understand their interpretations.

Carr and Kemmis (2003) describe research across a spectrum of *positivist*, *interpretive* and *critical* approaches. Within this framework, a positivist approach equates with Cohen and Manion's objectivist (and quantitative) paradigm, while the interpretative and critical approaches are described as subsets of the subjectivist (and qualitative) paradigm. Table 5.1 below sets out what are considered by Bryman (2004, p. 20) to be the fundamental differences between the qualitative (interpretive, naturalistic) and quantitative (positivistic) approaches in social research.

**Table 5.1 - Fundamental Differences between Quantitative and Qualitative Research Strategies (Source: Bryman, 2004, p. 20)**

Orientation	Quantitative	Qualitative
Principal orientation to the role of theory in relation to research	Deductive: testing of theory	Inductive: generating theory
Epistemological Orientation	Natural Science Model, in particular positivism	Interpretivism
Ontological Orientation	Objectivism	Constructionism

In the positivist paradigm, researchers believe they can act as a neutral observer and close the gap between theory and facts, and that knowledge is only of significance if it can be based on observations of an external reality (Easterby-Smith, Thorpe and Lowe, 2012). Based on these facts, positivists believe that general laws can be predicted. Positivists emphasise the importance of an objective scientific method (Bryman, 2015) and generally use quantitative methods such as surveys and statistical analysis to collect and interpret objective data. Lincoln and Guba (1985) noted that positivism has been 'remarkably pervasive'. This prevalence can be attributed to many factors including the generalisability of the data involved. Numerous authors have cited other benefits of using this approach (Bryman, 2015; Lincoln and Guba, 1985), such as the ability to attain data from large populations, the high levels of professional training involved in using the methods deployed, the standardised approach to the analysis of the data sourced, and the future predictions that can be made about the data. In addition, Marsh (1982) suggests that causal and meaningful explanations can arise from adopting this approach.

The interpretative research tradition provides an alternative to the positivistic approaches. Weber (1964; 1947) was the primary initiator of this tradition, but phenomenological sociologists such as Schutz (1945), Berger and Luckmann (1966), and Giddens (1987) developed it further. The main feature of the interpretative research tradition is its phenomenological base: the stipulation that person and world are inextricably related

through persons' lived experience of the world (Berger and Luckmann, 1966; Husserl, 1970; Schutz, 1945). The qualitative paradigm relates to the differences between people (and/or situations) and requires the social scientist, through some level of interpretation, to grasp the subjective meaning of social action (Bryman, 2004). Creswell (2013) states that qualitative research can be traced back to the late nineteenth century, though the movement only gained momentum in the 1960s. In the intervening years, much research has been carried out using this particular approach and an example of research methods used include in-depth interviews, case studies or focus groups (Bryman, 2015).

As outlined in Table 5.1, the ontological orientation of interpretivism is constructionism. Constructionism and constructivism are often used interchangeably, however constructionism is an educational philosophy based on the work of Papert (1991). Ackerman et al. (2009) state that constructionism is the 'building of knowledge [that] occurs best through building things that are tangible and sharable' (p. 56). Constructivism, on the other hand, argues that people generate knowledge and meaning from an interaction between their experiences and their ideas (Piaget, 1954). Vygotsky (1978) theorised that all learnings are acquired or refined in social interaction; by doing so, he added the social dimension to Piaget's (1954) constructivist notion of active meaning-making by individuals (Scott et al., 2007). The constructivist approach assumes 'multiple, apprehendable and sometimes conflicting social realities' (Denzin and Lincoln 1994, p. 111) that are the product of human intellect. The ontological position of this approach allows for constructed reality to change as individuals become more informed. Constructivists stress that knowledge is context-bound and individuals make personal meaning of their learning experiences through the internal construction of reality. Schwandt (2005) states that 'experience becomes the source of meaning for the individual, and reflection becomes the method for changing mental frames' (p. 180). This research subscribes to the basic assumptions of constructivism - that people actively contribute to the making of meaning and that there are different views of the world (Schwandt, 2005). Given

the varying ontological, epistemological and methodological principles that guide research, the specifics of these are now discussed in relation to this study.

#### 5.4 Philosophical Foundations of this Research

The development of leadership research started with a strong positivist bias and a foundation in multiple disciplines including sociology, psychology, economics and management science (Stentz et al, 2012; Parry, 1998). House and Aditya (1997) note that leadership research can be traced as far back as the early part of the 20<sup>th</sup> Century but that an organised social scientific approach to studying leadership did not emerge until the early 1930's. Research during this period, particularly that emerging from Iowa University, and later from Ohio and Michigan Universities in the 1940's and 1950's, was steeped in the positivist tradition. Bass (2008) states that much of what is currently understood about leadership has been developed primarily through quantitative, statistical approaches.

Leadership researchers have been criticised for their over-reliance on a positivist approach, which has given rise to an increase in the use of qualitative methods (Bryman, 2015; Klenke, 2014; Stentz et al, 2012; Conger, 1998). Conger (1998, p. 107) states that 'qualitative studies remain relatively rare... [and should be] the methodology of choice for topics as contextually rich as leadership'. However, almost twenty years later, this strong positivist orientation continues to dominate and calls for the use of qualitative methods in leadership research continue to be made (Dinh et al, 2014; Parry et al, 2014; Stentz et al, 2012). Bass (2008) argues that methodological and substantive issues in leadership research are likely to be broadened by presenting the possibility of a new paradigm for leadership that combines the use of both objectivist and subjectivist views. Parry et al, (2014, p. 133) note numerous advantages of doing qualitative research on leadership including:

- Flexibility during the research to follow and explore unexpected ideas and processes effectively
- Ability to be sensitive to contextual factors

- Ability to study symbolic dimensions and social meaning
- Increased opportunities...
  - o To develop new ideas and theories based on empirical evidence
  - o For in-depth and longitudinal explorations of leadership phenomena
  - o For research relevant to practitioners.

This is of particular relevance to this study and will be discussed in the context of the research design.

Adult development theory is situated in psychological theory and research (Hoare, 2006) and is largely based on a positivist approach (Lemme, 1995). Hoare (2006) notes, however, that adult development only appeared as a subject heading in the psychological abstracts in 1978 and that in the intervening years scholars have researched how learning might be integral to development in adults. Tennant and Pogson (1995) explored the significance of the psychological literature on adult development in understanding adult education and concluded that it offered opportunities to better understand how to approach adult teaching and learning. From a philosophical standpoint, Schwandt (2005) notes that adult learning research has gone through an ontological and epistemological shift from being primarily objective (i.e. based on a functional reality) to incorporating a subjective (i.e. interpretive) reality. This shift in adult learning research reflects similar changes in leadership research and is conducive to the qualitative research design, which is adopted in the present study.

## 5.5 The Research Design

### 5.5.1 Qualitative Research

Because leadership is a highly complex phenomenon steeped in contextual and symbolic interpretations (Conger, 1998) and because novel approaches to understanding organisational phenomena can benefit from a qualitative foundation (Edmondson and McManus, 2007), a qualitative research design was adopted for this study. Qualitative studies seek to go beyond the basic facts in order to develop a deeper understanding of factors, which are sometimes hidden, that may account for behaviour (Merriam, 2009). Qualitative data are usually collected in the participant's environment and their analysis focuses on inducing from particular to general themes, with the researcher interpreting the meaning of the data (Creswell et al, 2007). Creswell et al (2007) note that 'studies [of leadership] have all been quantitative investigations that do not incorporate the voices of participants. One issue that arises, then, is that the quantitative results are inadequate to describe and explain the leaders' experiences' (p. 97). Bryman (2004) points out that leadership researchers would know very little about leadership in relation to the change process, were it not for qualitative studies. Seidman (2013) notes that the primary way a researcher can investigate an organisation, institution or process is through capturing the experiences of individuals. Bryman (2015) notes that the interview is probably the most widely employed method in qualitative research. The specific research method deployed in this study - the Subject Object interview (SOI) - captures leaders' experiences and therefore includes their voices as participants in the leadership development process. The method employed is therefore entirely consistent with the philosophical underpinnings of the CDT theoretical framework and with the research questions set out in the study.

### 5.5.2 Quasi-Longitudinal Design

There has been some debate over what constitutes longitudinal research. Todem (2008) states that a longitudinal study refers to the collection of data from the same unit (e.g. the same person) at two or more different points in time. Alternatively, Ployhart and Vandenberg (2010) draw a clear distinction between what is and what is not longitudinal research and define it as 'emphasizing the study of change and containing at minimum three repeated observations (although more than three is better) on at least one of the substantive constructs of interest' (p.97). Day (2011, p. 570) refers to true longitudinal research as the 'gold standard' in charting and understanding developmental trajectories but notes that a better understanding of leader development can also emerge from quasi-longitudinal studies. He terms two wave research as quasi-longitudinal and compares this approach within developmental psychology to the longstanding recognition of quasi-experimental research in the behavioural sciences. Day (2011, p. 563) notes 'that it is possible for researchers to track changes in an outcome over a sensible period of time but include only two waves of data'. On the basis outlined above by Day (2011) the research design of this study can be described as quasi-longitudinal using two-waves of data.

The benefits of quasi-longitudinal design over cross-sectional designs (i.e. the analysis of data collected from a population, or a representative subset, at one specific point in time), have been noted by several scholars (e.g. Bryman, 2015; Klenke, 2014; Taris and Kompier, 2014; Diggle et al, 2013). A key advantage is dealing with the issue of common method bias (i.e. systematic method error due to use of a single rater or single source) as well as the advantage that each subject serves as his or her own control in the study of change across time. In addition, quasi-longitudinal designs are much more useful for establishing causal relationships than cross-sectional designs (Taris and Kompier, 2014).

The lack of longitudinal research in leadership research has been noted in the literature (e.g. Day et al., 2014; Dinh et al., 2014; Mumford and Riggio, 2011; Avolio et al, 2009). Despite

this, Taris and Kompier (2014) observe that when longitudinal studies have been conducted, to date the two-wave longitudinal design has dominated the research. For this study, the research was conducted over a two-year period where two consecutive leadership programmes of approximately 10 months in length were delivered. SOI data was collected at Time 1 in advance of the leadership development programme and again at Time 2 upon completion of the programme, thus answering calls for more quasi-longitudinal research in leadership studies (Avolio et al, 2009).

## 5.6 The Research Site

The research site is 'Best Bank', which is one of the leading providers of financial services in Ireland. Established in the early 1970's, it is part of a major European financial services group (one of the World's Top 50 Banks) and has its Irish headquarters in Dublin. The Bank is fully owned by its parent company and its focus is on providing a wide range of financial services to both personal and business customers. The Bank is a retail savings and loans bank and has been a leading provider of mortgages in the Irish marketplace. The bank has established smaller offices elsewhere in major cities and towns in Ireland.

During the financial crisis, Best Bank faced a number of significant business challenges and set out to develop a leadership cadre in the organisation that could assist with these challenges. The business required leaders who could lead change, transform the business and get the bank back on the path to profitability. It also required leaders to be authentic, as the view of the banking sector in Ireland during this period was particularly poor; the level of trust in banks among customers and among the general public was critically low and customers did not believe what they were hearing from banks. This was evidenced in the Edelman Trust barometers in 2011 and 2012, which respectively showed that only 6% and 9% of the general public in Ireland trusted banks. In 2011, the then Chairman of the Ethics Committee of the Association of Compliance Officers in Ireland stated that 'trust in the financial

sector – and particularly in the banking sector - has been eroded' (Appleby, 2011). On that basis, Best Bank required leaders who could build the bank's reputation in the market place, while leading change and supporting its survival through the crisis. The CEO at the time compared the bank to a ship and suggested that the bank was 'in the eye of a storm being bounced across the ocean' and that the goal of senior management was 'to navigate the ship to shore' to secure the future of the bank.

In order to achieve this goal, Best Bank invested in a leadership development programme for their senior management team focused on developing authentic leaders and enhancing competencies in the organisation in areas including: managing change; thinking and operating strategically; innovating and continuously improving; managing people including coaching and delegating; and networking. The modules of the leadership development programme were designed to develop levels of authentic leadership and an overview of these modules is provided next.

### 5.6.1 Overview of the Leadership Development Programme

To achieve the development of future leaders, Best Bank engaged with an external provider to deliver a leadership development programme. The programme was designed to facilitate and maximise the developmental journey, and was logically structured over 5 workshops of 1-2 days per session, with approximately 6-8 week intervals between each session to facilitate integration of the learning and on-going development of the participants. Table 5.2 presents an overview of the modules of the leadership development programme in Best Bank, the authentic leadership construct that each module related to and the competencies that were targeted for development via that module.

**Table 5.2 - Link between LDP, Authentic Leadership constructs and Competencies**

Best Bank Leadership Development Module	Authentic Leadership Construct	Competency to be Developed
<p>Session 1 – Leading Yourself (2 days):</p> <p>Theme: ‘Effective leaders have an effective mind set’. The authentic leader must first know, understand, and be able to lead him / herself before they can lead others.</p>	<p>Self-Awareness &amp; Internalised Moral Perspective</p>	<p>Thinking and operating strategically and managing change.</p>
<p>Session 2 – Leading Tasks (1 day):</p> <p>Theme: ‘A truly effective leader can manage people and tasks equally adroitly’. This session explored the principles of having good vision and goal setting, while also equipping participants with the tools to make effective decisions and manage effective meetings.</p>	<p>Balanced Processing of Information</p>	<p>Managing Change</p>
<p>Session 3 – Leading Others (2 days):</p> <p>Theme: ‘One to One engagement’. Having identified and understood how participants could lead more authentically, the programme examined those around them and focused on inspiring, motivating, and leading the thinking and behaviour of both their subordinates and their peers.</p>	<p>Relational Transparency</p>	<p>Managing people including coaching and delegating; developing networking skills</p>

Best Bank Leadership Development Module	Authentic Leadership Construct	Competency to be Developed
<p>Session 4 – Team Synergy (1 day):</p> <p>Theme: ‘If nobody is perfect then a team can be’. During this workshop the participants were provided with the tools to build high performance teams, capable of delivering more than just the contributions of individual, thereby cultivating a culture of synergy.</p>	<p>Relational Transparency</p>	<p>Managing people including coaching and delegating; and networking</p>
<p>Session 5 – Innovation in the business (1 day):</p> <p>Theme: ‘Tapping into a team’s latent creativity’. During this session participants developed the skills necessary to manage innovation at both operational and strategic levels and were provided with the tools to develop their team’s creativity.</p>	<p>N/A</p>	<p>Innovating and continuously improving</p>

The programme of workshops included a mix of learning and provided a variety of practical, intellectual and visceral experiences to ensure maximum transfer of learning. Development was facilitated between the sessions through a mix of practical assignments, one to one coaching with the external provider and peer coaching. Each session commenced with a review of the development journey since the previous session, and concluded with action learning for development before the next session.

A diagnostic tool - Human Synergistics Life Styles Inventory™ (LSI) - was introduced by Best Bank to capture the participant’s leadership styles and effectiveness prior to the programme. The LSI which was developed by Lafferty (1979), is a 240 item self-report survey that measures 12 thinking styles (20 items for each style). Lafferty (1979) developed a

'Circumplex' model, which represents a circular graph for organising and profiling the 12 thinking styles. Based on research by Cooke and Lafferty (1983) the Circumplex and its 12 styles was modified to reflect the three clusters of styles identified in their research: (a) constructive styles, (b) passive/defensive styles, and (c) aggressive/defensive styles.

Examples of statements for each style are:

- Constructive styles: Willing to take time with people; high personal integrity; communicates ideas easily.
- Passive/defensive styles: Leaves decisions to others; Upset if not accepted by others; Obeys too willingly.
- Aggressive/defensive styles: Likes to be seen and noticed; tries hard to prove self; gets upset over losing.

Scores for the LSI are based on a three point Likert-like scale ranging from "like you most of the time", "like you quite often" or "essentially unlike you" (Lafferty, 1989, p.4).

The LSI was issued to participants via a secure online login and each participant was presented with a graphical profile upon completion of the survey. An accredited LSI coach must complete the interpretation and debriefing of the Circumplex, which in the present study was conducted by an externally qualified LSI coach. The LSI was also available to participants as an option to complete at the end of the leadership development programme. This was the first time that any such tool was used in the organisation and therefore there was some level of concern amongst participants about how it would be used and whether the output would be shared with senior executives and line managers in the organisation. As a consequence, only 19 of the 30 participants' in the study completed the LSI at Time 1 and Time 2. The surveys that were returned were analysed to ascertain if there was any correlation between constructive development as measured by the SOI and development as measured by the LSI. This analysis did not identify any correlation between LSI results and constructive development. This is most likely due to the limited data available for statistical analysis at Time

1 and Time 2. However, it may also be that the LSI is not an appropriate tool to measure constructive development. The LSI measures behavioural styles and provides an assessment of personal strengths and areas for development (Lafferty, 1989), whereas the SOI provides an assessment of the individual's stage of constructive development at interviews between Time 1 and Time 2. For these reasons, the LSI was not incorporated into the study.

The overall purpose of the programme was focused on embedding learning to encourage development at an individual level in order to achieve higher performance for themselves and among others. The research population involved in the leadership development programme is outlined next.

## 5.7 The Research Population

The total population of 68 senior managers and Associate Directors in Best Bank at the time of the study was invited to submit applications to participate in a new Leadership Development Programme. There were 24 places available on the programme and the first 24 of those who applied were accepted on the programme and were invited to participate in the study.

There was strong interest in participation on the programme. This interest may have been due to the financial crisis and a view among participants that they faced potential threats at that time. Such threats included job losses as well as significant changes in roles for employees across the organisation. For example, employees may have viewed the programme as an opportunity to enhance their skillset and knowledge so that they would be more likely to be retained in the organisation in the event of headcount reductions. Another consideration for participants was that they were increasing their skillset to make them more attractive to the external market should they have a need or desire to pursue external opportunities. Overall, the nervousness and fear that existed in the organisation at that time may potentially have contributed to increased interest in participating in the programme.

In addition, a further 12 senior managers and Associate Directors who had not applied to participate on the programme were also invited to participate as a Control Group in the study. Therefore, a total of 36 senior managers and Associate Directors who were senior members of the management team in Best Bank were invited to participate, 30 of which agreed. The reasons for non-participation were due to the inability to complete the leadership development programme or to participate in interviews due to work commitments or other personal commitments. For example, two people left the organisation (both male participants, one from Leadership Development Programme 1 (LDP1) and one from Leadership Development Programme 2 (LDP2)), one person went on maternity leave (Control Group), while three others could not complete the programme due to work demands (one male participant from LDP1, one male participant from LDP2 who was based outside of head office, and one female participant from the Control Group). The sample size is consistent with other studies conducted using the SOI (Kegan and Lahey, 2010). Examples of studies within a similar size range are as follows: Helsing and Howell (2014) with 32 participants of which 11 completed multiple interviews; Zintel (2012) with 9 participants; Mumm (2010) with 37 participants; Strang and Kuhnert (2009) with 58 participants; Bugenhagen (2009) with 54 participants; Van Veslor and Drath (2004) with 25 participants; Harris (2001) with 41 participants; and Benay (1997) with 8 participants.

The final sample population of 30 was split into three cohorts of participants: the two cohorts of 10 participants who were taking part in the Leadership Development Programme (LDP1 and LDP2) and the 10 senior managers who were not participants in the programme and who represented the Control Group. In total, 60 interviews were conducted with the participants (30 at Time 1 and 30 at Time 2). These individuals were included in order to compare the developmental transitions, if any, to participants in the Leadership Development Programme. The Control Group comprised leaders who had not at the time of the interviews opted to participate in the programme.

### 5.7.1 Profile of the Total Participants

The breakdowns by gender, service and age for the total number of participants are shown in Figure 5.1. As the figure shows, of the 30 participants, 7 (23%) were female and 23 (77%) were male, with an average age of 41 (ranging from 31 to 52 years old). The participants' service levels with the bank ranged from 6 months up to 24 years. This sample is representative of the overall senior management population within Best Bank where the breakdown by gender was 26% female and 74% male, the average age was 42 years, and the average years of service was 13 years with service ranging from 1 month to 29 years.

**Figure 5.1 - Gender breakdown by Actual Number (N = 30)**

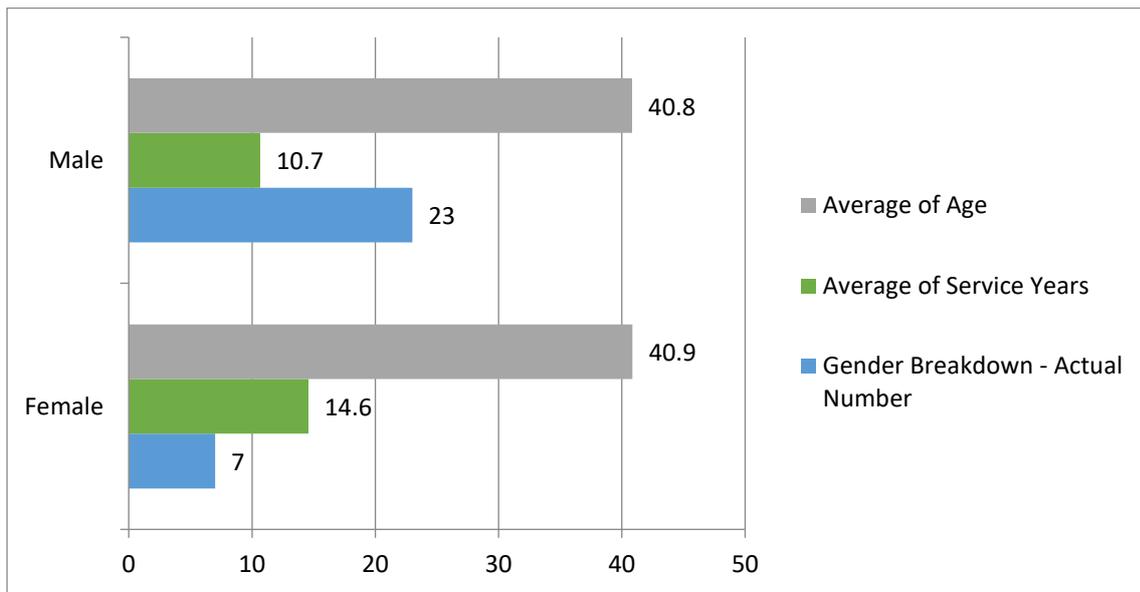
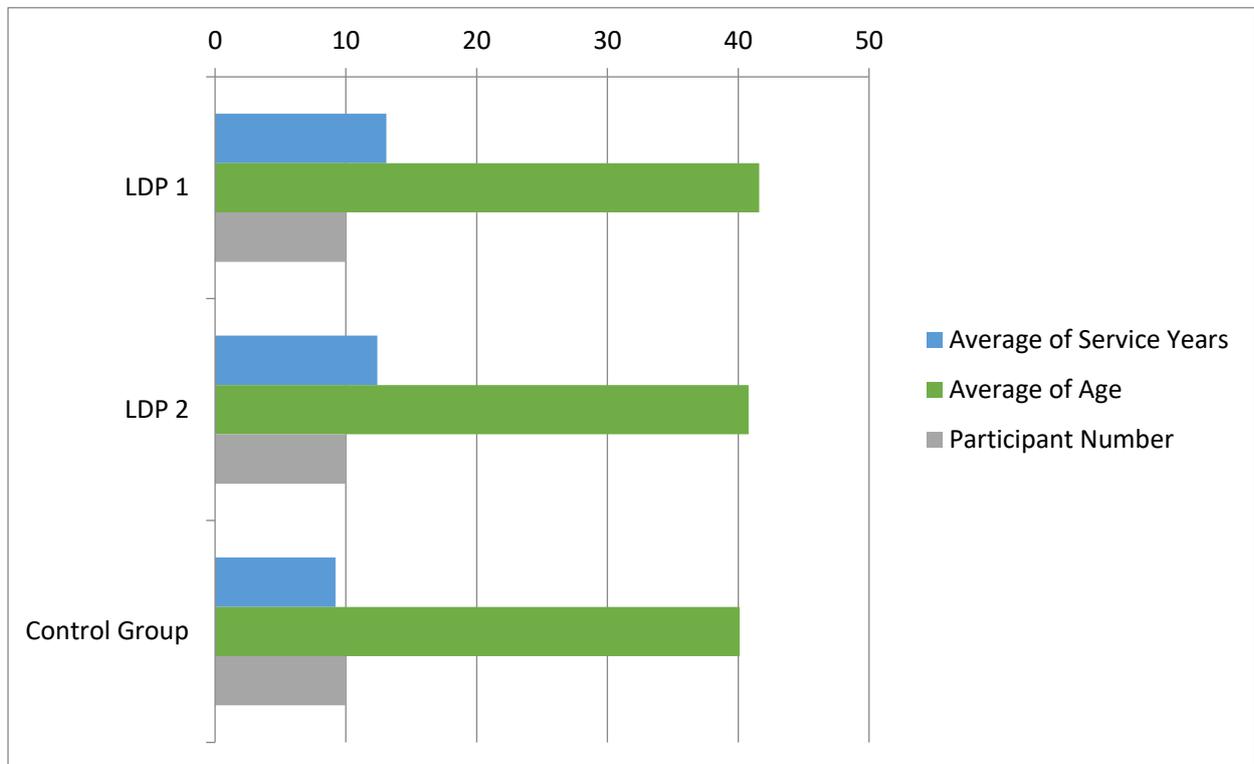


Figure 5.2 provides a breakdown of each of the three cohorts in the study illustrating that LDP1 had 10 participants with an average age of 41.6 years, the average years of service ranged from 6 years to 24 years and there were 4 females and 6 males. LDP2 had 10 participants with an average age of 40.8 years, with average service ranging from 6 years to 23 years, and there were 4 females and 6 males. Finally, the average age of the Control Group was 40, the average years of service ranged from 6 months to 24 years, and there were 10 male and 0

female participants. These figures represent the participants who completed the SOI at both Time 1 and Time 2.

**Figure 5.2 - Average age and average service years across cohorts (N = 30)**



## 5.8 Research Measures

### 5.8.1 Subject Object Interviews

The Subject Object Interview (SOI) is a research methodology developed by Kegan and Lahey (1984). The SOI is designed specifically to generate data about how a person is making meaning according to Kegan's (1980) constructive-developmental theory. SOIs focus on structure i.e. how individuals think about the world. Unlike more traditional interviews, the SOI does not focus on specific themes and motives. Berger (2003) states that structure is *how* we think about the world. The interviewer is trying to 'get behind' the content to the hidden drivers or assumptions that people make about their experiences (Berger, 2003; Kegan and Lahey, 1984). For example, corporate lenders within a bank may be at various stages of development, and how they make sense of the world and their experiences will differ - how they see their

role within the bank, their emotions regarding their roles, and the different perspectives they may have, will depend on their stage of development.

The SOI is noted to provide deep, rich data which can provide a different insight into how individuals interact with their environment (Lahey et al, 1988). The SOI can help maintain a focus on development and the relationship between one's capacities and the demands that exist within a role or within the context of the organisation or environment (Helsing and Howell, 2013). Helsing and Howell (2013) further stated that the specific challenges a leader identifies and elaborates on through the SOI are far more powerful than simply having a developmental score identified followed by a short debrief (which can be provided via survey methods). Berger (2003) noted that the experience of the SOI can change the way a participant is thinking about things in their lives and potentially prompt development. Atkins and Berger (2009) state that learning the SOI is an intensive and arduous process and Berger (2012) further notes that conducting and analysing a SOI is a highly skilled process. In a study exploring the experience of learning how to conduct, analyse and score the SOI, Van Diemen van Thor (2014) highlight several challenges in using the SOI such as the capability to recognise the stages and the transitions between stages in Kegan's (1984) theory, the discipline required to understanding Kegan's theory and the challenges presented when faced with an interviewee at a more developed stage than the interviewer. Despite these challenges, Van Diemen van Thor (2014) concluded that using the SOI could be extremely valuable when used in developmental coaching.

As outlined in chapter four, there are five stages identified within Kegan's theory with transition points between each main stage. Given the age of participants in this study, evidence of Stage 0 (name of stage) and Stage 1 (the Impulsive stage) was not expected to emerge during the SOI interviews as these stages develop during early childhood. An overview of stage 2 to stage 5 is provided next in Table 5.3 which outlines the 16 transition points between the instrumental stage and the self-transforming stage. Kegan argues that

adults will spend their time in transition between the various stages, holding on to the former stage while experimenting with moving to the next stage.

**Table 5.3 - Subject Object Interview Scores**

STAGE	TRANSITIONS	OVERVIEW OF STAGE
<b>INSTRUMENTAL STAGE</b>	2	Behaviour is governed by individual needs, interests and desires. Individuals will define others according to how they can be assisted by them.
	2(3)	
	2/3	
	3/2	
	3(2)	
<b>SOCIALISED STAGE</b>	3	Individuals can modify or defer their personal needs to take into consideration the needs of others. Others' perceptions of oneself become very important.
	3(4)	
	3/4	
	4/3	
	4(3)	
<b>SELF-AUTHORING STAGE</b>	4	Individuals display more independent thinking with an ability to challenge rather than follow others' expectations and demands. This independent thinking stems from a system of values and principles.
	4(5)	
	4/5	
	5/4	
	5(4)	
<b>SELF-TRANSFORMING STAGE</b>	5	Individuals have the capacity to accommodate more than one ideology and can evaluate ideologies objectively without the threat of criticism.

The SOI has been empirically tested over the last 30 years and Lahey et al (1988) report adequate levels of test-retest reliability and interrater agreement, as well as evidence of construct validity. The test-retest reliability for the SOI is correlated with a Spearman's coefficient of .82 and Pearson's  $r$  of .834, which are both significant at the .0001 level (Lahey et al, 1988). Lahey et al (1988) note positive correlations between the SOI and similar types of measures (e.g. Kohlberg's Moral Judgment Interview, 1984; Loevinger's Sentence Completion Test, 1985).

### 5.8.2 SOI Training

The Subject Object Interview (SOI) training programme was completed over three days in Boston during May 2011 and focused on analysing the output of SOI interviews. Given that all of the participants on the programme indicated that their focus on the SOI involved adults only, the earlier stages of Kegan's (1980) theory (i.e. Stage 0 and Stage 1) were not reviewed. An overview of 'The Instrumental Stage' (Stage 2) and 'The Self-Transforming Stage' (Stage 5) were provided, however the key focus of the training was on 'The Socialised Stage' (Stage 3) and 'The Self-Authoring Stage' (Stage 4). The focus of the training was to identify characteristics of an individual at each stage, which involved building a guide sheet of these characteristics as output from the training. To gain certification in using the SOI, the researcher had to score five interviews within one deviation of the reliable/expert score. The formulation process sheet and overall formulation sheet (see appendices 1 and 2) had to be submitted for review and a debrief was provided via telephone afterwards. Once certification was successfully gained, the SOI interviews commenced with the selected research population.

### 5.8.3 Conducting the SOI

The Subject Object interview involves the use of ten cards containing certain words to assess a person's developmental level. All ten cards with the following words were used: success, anger, important to me, sad, lost something, change, torn, strong stand/conviction, moved/touched and anxious/nervous. As recommended by Lahey et al. (1988), each participant was given fifteen minutes preparation time in advance of the interview and asked to make notes on each card as a prompt for when the interview commenced. The researcher showed each card and stated to participants: 'tell me about a time when you experienced anger [success/change etc.] at work in the last 6-12 months'. Once the interview commenced the purpose was to understand the meaning-making level of the participant and the interviewer continued probing by using 'why' questions in order to better understand the meaning the participants took from their experiences. It should be noted, however, that the actual experience itself was of less relevance than the meaning the person attached to it (Kegan and Lahey, 2009).

### 5.8.4 SOI Analysis and Interpretation

To analyse an SOI, each interview must be transcribed and reviewed for structural evidence (referred to as 'bits'). In reviewing the interviews, the researcher is trying to interpret from where the person seems to be constructing his or her reality. To analyse the interviews, a process sheet is completed for each interview (see appendix A). This allows the interviewer to assess each bit identified in the interview. For each bit, a proposed range of hypotheses is suggested and the interviewer must ask the following questions about each one:

- What structural evidence leads you to these hypotheses?
- What evidence leads you to reject other plausible counter hypotheses?
- If you have a range of hypotheses, what further information do you need to narrow the range?

Once the process sheet is completed, the interviewer is looking for a minimum of three bits of structure to make a tentative overall hypothesis about the stage of development of the participant (Lahey et al, 1988). At this stage a 'Subject Object analysis' formulation sheet is completed (see appendix B). The purpose of this analysis is to challenge and reject any other plausible hypotheses and set out the rationale for this rejection. The interviewer is usually rejecting the development stage either side of the tentative hypotheses they are assessing in order to establish a single overall score. In this way, the interviewer can be sure that they have analysed the interview correctly. In order to analyse a Subject Object Interview, the interviewer needs to determine not just the stage of development, but also any potential transition points between stages.

#### 5.8.5 SOI coding and reliability

In order to ensure reliability, another qualified SOI rater was utilised to score random interviews at a ratio of 1 to 3 (i.e. 20 out of 60 interviews). Lahey et al. (1988) assert that in order for the scoring to be reliable, the researcher's initial rating and the second rater's score must be within one transition point of each other. If the researcher and second rater do not agree, a further review of the transcript is undertaken and comparisons are made to determine the final score. Prior studies that have used this approach registered complete agreement reliabilities of 70 per cent to 80 per cent, with most reliabilities at 100 per cent for a 1/5 order discrimination (Lahey et al, 1988). Colby et al (1983) report 8 different interrater tests that each involve 10-20 interviews and report complete agreement (using 13 possible distinctions) 60 per cent of the time. They report agreement within 1/3 of a stage 96 per cent of the time.

This study reported 75 per cent reliability and 100 per cent reliability for a 1/5 order discrimination following discussion on the interviews where there was not 100 per cent agreement. In addition, in the case of three of the five SOI interviews where scores did not align on first scoring, a third rater was used who had trained the researcher to validate the

scores of the researcher and peer reviewer where there had been queries over certain 'bits' from these interviews.

## 5.9 Chapter Summary

This chapter outlined the research methods used during the study. The philosophical foundations of research in general were outlined and the philosophical foundations of the current study were discussed. An overview of the research design, which included a qualitative and quasi-longitudinal design, was provided. The research site and the research population i.e. the two cohorts of 10 senior managers participating in the Leadership Development Programmes and 10 senior managers in the Control Group were then described. This was followed by an outline of the research method being used i.e. the Subject Object Interview (SOI). Finally, an overview of how the SOI data was analysed was provided. The following chapter will outline the results and analysis from the research study.

## Chapter 6. RESULTS AND ANALYSIS CHAPTER

### 6.1 Introduction

This chapter presents the results from the Subject Object interviews (SOI). The first section provides a brief overview of the Subject Object Interviews (SOI) and the developmental stages. The next section provides a detailed analysis of the interviews by each stage and highlights the main evidence demonstrating the particular stage of development for the sample of the participants in the current study. Finally, a summary of the chapter is provided.

#### 6.1.1 Subject Object Interview Results

As previously outlined in chapter three, Kegan uses two internal structures to define each constructive developmental stage: these structures are called Subject and Object. The Subject is the process through which individuals organise and understand their experience; it is the lens through which the world is viewed and the rule by which it is defined (Kegan, 1984). The Object is the content of the experience that is organised and understood by way of the Subject (Kegan, 1984). As a person develops from one stage to the next, what was previously Subject becomes Object. As a reminder, Table 6.1 provides an overview of Kegan's (1984) stages from the perspective of Subject Object relations.

**Table 6.1 - Subject Object Relations in constructive developmental theory (from Strang and Kuhnert, 2009)**

CD Stage/Leader Development Level (LDL)	Subject (organising process)	Object (content of experience)
<b>Stage 2</b> (Instrumental Mind)	Personal goals and agenda	Immediate needs and feelings
<b>Stage 3</b> (Socialised stage)	Interpersonal connections	Personal goals and agenda
<b>Stage 4</b> (Self-Authored Mind)	Personal standards and value system	Interpersonal connections
<b>Stage 5</b> (Self-Transformational Mind)	Openness and paradox	Personal standards and value system

## 6.2 Interview Analysis

Table 6.2 presents the number of participants within each stage of development across the three groups at the two time points (i.e. before and after the programme).

**Table 6.2 - Participant's pre-and-post interview scores across groups at two time points**

Score	LDP1 (N = 10)		LDP2 (N =10)		Control Group (N = 10)	
	Interview 1	Interview 2	Interview 1	Interview 2	Interview 1	Interview 2
<b>3 (Socialised)</b>	6	-	5	1	5	3
<b>3(4)</b>	-	6	1	3	1	3
<b>3/4</b>	-	-	2	3	-	-
<b>4(3)</b>	3	1	1	1	2	1
<b>4 (Self-authoring)</b>	1	3	1	1	2	2
<b>4(5)</b>	-	-	-	1	-	1
<b>Total</b>	10	10	10	10	10	10
<b>Score change</b>	Eight people changed (all increased 1)		Eight people changed (seven people increased 1; one person increased 2)		Three people changed (two people increased 1; one person increased 2)	

As Table 6.2 shows, there were three cohorts of participants, 10 participants in LDP1, 10 participants in LDP2 and 10 participants in the Control Group. The participants were at either the socialised stage (stage 3) or the self-authoring stage (stage 4) of development at Time 1, which are the stages most adults make meaning at (Helsing and Howell, 2014; Kegan and Lahey, 2010; Torbert, 2004; Kegan, 1994). Table 6.2 indicates that no participant in the study demonstrated any evidence of being at the instrumental stage (stage 2) of development. Typically 1-5% of participants in a study of this type are at the instrumental stage (Kegan and Lahey, 2010; Kegan, 1994; Torbert, 1987). However, other research (e.g. Eigel, 1998 and Bar Yam, 1991) investigated the developmental level of participants and they had no participants at stage 2. The next section of the chapter details those leading from stage 3 (the socialised stage).

### 6.2.1 Participants Leading from Stage 3 (The Socialised Stage)

As outlined in chapter three, at the socialised stage of development (stage 3) a person understands that the world is made up of the relationships required, not only to meet external demands but also internal requirements. At this stage, individuals are defined by their relationships and the other person's point of view matters and is used as a means of satisfying the individual's own view of themselves (Trimberger and Bugenhagen, 2015; Helsing and Howell, 2014; Kegan and Lahey, 2010; Allen and Wergin, 2009; McCauley et al, 2006). Those operating from a socialised construction make meaning of their interactions with others and their community. As Kegan and Lahey (2010, p. 52) detailed a 'person who perceives the world through the socialised stage is subject to the values and expectations of his 'surround' (be it his family of origin, his religious or political reference group or the leaders of his work setting) who set terms on his professional and financial reality'.

At the Time 1 interviews, 20 of the 30 participants across the two leadership programmes and the Control Group were leading from a socialised stage (stage 3). Within Best Bank this was reflected by those participants who engaged in meaning-making via the focus they placed on their relationship with their line manager, those that reported to them, their peers, senior management and the feedback they received from others and how these relationships determined their thoughts, behaviours and attitudes both in work and at home. Participants on the Leadership Development Programme 1 (LDP1) at a full stage 3 (socialised stage) at the Time 1 interview included Mary, Emma, Jack, Conor, Ava and Emily. Those on Leadership Development Programme 2 (LDP2) at a full stage 3 at Time 1 interview included Amelia, Ella, Sophie, Dylan and James. Those in the Control Group at a full stage 3 during Time 1 were Daniel, Ryan, Liam, Alex and Charlie. The remaining four participants leading from a socialised stage (stage 3) also had some self-authoring (stage 4) capacity present. These individuals were Mark, Noah, Sean and Jamie.

The following section outlines a sample of participants who transitioned from leading from a full stage 3 (socialised stage) at Time 1 interview to stage 3(4) or 3/4 by Time 2

interview. Analysis of the developmental stage with structure (bits) from the interviews is outlined. A sample of participants at each stage is used to represent all of the participants in the study as it becomes evident that similar concerns and attitudes emerged for participants who were at the same stage. The group each participant is a member of is indicated after their name e.g. LDP1. The SOI Time 1 (T1) and Time 2 (T2) scores are also indicated.

**Participant Name: James - LDP2. T1 = 3; T2 = 3(4)**

James was in the bank over ten years and was almost 40 years of age. He was a senior manager and at the Time 1 interview had moved roles to a newly established unit, which was set up in response to the financial crisis in Ireland. James had struggled somewhat to find his place within this business unit and was concerned about progressing his career in the organisation. At various times throughout the interview, he expressed concerns about how Executive Directors, those reporting to him and other senior management within the bank viewed him.

At the Time 1 interview, the socialised stage was evident in James when he discussed why recognition was so fundamentally important to him, and why it made a difference to him rather than earning \$200,000 per year he stated:

*'I don't know, it's – I've always been, ever since I was a kid it's something that's very, it's very important to me to get the approval of people. I feel like I work harder. So, just for me it's very important just to be – to be told. Now, the other side of that is that when I'm not told, it can be very...it can have a very negative impact on me'.*

For James, getting the approval of others was something he required, which impacted either positively or negatively on his thinking and behaviour. It drove or negated his performance at work.

At another stage of the interview when discussing the change card and a project that he had been leading in the organisation, he discussed how leading the programme had allowed him to be the 'go to' person. When probed on why this was important to him, he focused on the feedback he received during his performance review and that being the 'go to' person had resulted in him receiving positive validation at the most senior levels in the organisation. He also mentioned how this positive feedback from others 'spilled-over' to his home life:

*'After my review, genuinely I was very moved by the positive comments I got out...I mean, in the last couple of years, by [Executive Director 1] and [Executive Director 2] – there was a lot of positive things and then I went home very positive over that...'*

In this statement, James was reflecting on a performance review that he had undertaken with his manager and how the positive feedback provided at the review and comments from two Executive Directors in the business had affected him. He continued to say that if he did not receive this feedback - even though he believed he worked very hard - he would not be able to tell if he was doing a good job or not. James was concerned about how those who reported to him viewed him and he wanted to be admired and respected by them. Others' opinions mattered to him intrinsically and he used them as a means to satisfy his ego, though he also indicated how they impacted on his mood both at work and at home.

At the Time 2 interview it appeared that James had changed in the last 12 months. His own opinion was now being expressed more at this time than at the previous interview. James' behaviour at Time 2 indicates greater self-regulation as defined by Vancouver and Day (2005) and demonstrates how James is trying to attain an internally presented desired state (i.e. offering his opinion in meetings). This could also reflect that the sub-construct of authentic leadership (i.e. relational transparency) is emerging for James which was evident when he discussed what had changed for him in the past 12 months:

*'...I get asked for my opinion an awful lot more and I would probably have mentioned before about being quiet at meetings in the past and sitting there waiting to be asked*

*and I have made a conscious decision to try and shout out an awful lot more at meetings and try and get my point across...'*

James does, however, reflect on the fact that he had intensive feedback over the last 12 months from his line manager, his coach and other managers in his business unit and acknowledged that his line manager had been a great influence on him developing this ability to voice his opinions at meetings. When asked for his opinion about why this ability to voice his opinions had developed over the past year he commented:

*It's changed truly, because, one it is forced on me because [my line manager], he is trying to coach me you know in getting my point across at meetings and making sure that he asks me what I think at meetings in front of everybody and he scribbles me post its [notes] saying I am too quiet'.*

James' experience corresponds with Ladegard and Gjerde's (2014) research whose findings indicated that coaching increases leader role efficacy. This is also consistent with Bandura's (1997) construct of self-efficacy, which is defined as 'an individual's confidence about his/her abilities to mobilise the motivation, cognitive resources and course of action needed to successfully execute a specific task within a given context' (p. 5).

In addition, James no longer did things to please the organisation's Executive team and recognised that previously he would have wanted to be on a project just to please some of the senior executives within the business and to be viewed as contributing within the organisation. When James referred to having high standards, he was further probed on (a) whether these were expected for himself and others and (b) where he believed this desire for high standards came from. He disclosed how previously these high standards would have been based on what he thought others had expected of him but that he was now of the view that this no longer worked and that he needed to formulate his own standards and expectations of himself.

*'I think a different version of me would probably want to be in the best project just to please the system and to keep the Executive Director happier and show him what I*

*was about...the job I have now is all about finding new ways of doing things and you kind of learn the hard way that if you come up with ideas that just keep people happy, it just won't work'.*

In addition to the coaching and feedback that James received during and since his participation in the programme, he also found the network within the programme useful in helping him realise that he was not the only one facing challenging times in the business. When discussing what (if any) of the elements of the programme he found most beneficial he stated:

*'...what I was hearing was what other senior managers are going through... I enjoyed that talking to guys and seeing how they were getting on and then you realise that you are not on your own'.*

Overall, James indicates his continuing dependence on others' views of him, for example, when reflecting on why feedback was important to him he stated:

*'...I enjoy working here and I want to be part of it and I respect the people above me as well so getting feedback from someone like senior manager 1 and senior manager 2, to me it is very important that? If they think I am doing a good job or a bad job that they tell me, you know, and that I am learning from them...'*

However, James recognises that a great influence over the previous 12 months had been his direct line manager and his coach who had both been coaching him to find his voice and express his views. So while a socialised stage still dominated, he was developing greater capacity for self-authorship and it appeared that authentic leadership was also emerging.

**Participant Name: Ava – LDP1. T1 = 3; T2 = 3(4)**

Ava was in her mid-forties and had been with Best Bank for almost 20 years. She had progressed in the organisation from a junior to a senior position. Ava had recognised the need

for personal development following feedback from her line manager and a development opportunity which gave her additional responsibilities within her role. The opportunity allowed her to make progress within the business and be accountable for leading and developing her area. She recognised the need to execute a more challenging role in the organisation in order to progress her career and to negate the fear she had of voicing her opinion in a group setting.

At the Time 1 interview, there was evidence that Ava's socialised stage was fully operational. There was evidence of self-awareness and the desire to move away from this stage of development. For example, Ava expressed her aspiration to voice her opinion and her need to be more honest with herself and others but gave little evidence of doing this at that point in time. When discussing this inability (to voice her opinion), and whether this was her own view or the view of others she stated:

*...you are just conditioned maybe to just to go and do something so stepping back out of that box, to challenge back, is my challenge for me...'*

There were numerous examples of her being concerned about how others viewed her and how she questioned her own personal views and abilities because of others challenging her in different situations. Ava discussed feeling like 'the little person' in the room. She was probed further about this analogy and was asked whether the thought of being seen by others as 'the little person' ran through her head and what that might tell her about herself.

*'...I need to step out of that kind of worrying about what people are going to think and just say what I actually think will be good'*

At the Time 2 interview, Ava was more open about her opinions and was voicing these in meetings and, consequently, there was an emerging self-authored mind in her construction. This evidences self-regulation on Ava's behalf. Yeow and Martin (2013) note that this reflects evaluating behaviour against set goals and, if there is a discrepancy between goal and current state, negative and positive feedback loops develop which lead to modifications of behaviours

and cognitions to ensure goal attainment. When discussing why the success card resonated with her most Ava stated:

*'... I suppose my thing going into the programme was that there were certain areas I probably wasn't happy with in terms of my own, where I was at, my own interaction with the business or with senior people...I would have got feedback that...that I'm not afraid to voice my opinion [now]...'*

Throughout the interview, Ava expressed that feedback from others helped her understand whether she was making a satisfactory contribution to the business. She attributed her increased confidence as coming from the feedback from business unit managers. She was subject to that feedback and it guided what she did in her role. Thus, while she was transitioning at that time, stage 3 was still dominant. Ava discussed how she viewed success differently before starting the programme and having completed the programme and that she now measured success in a different way and was not afraid to seek feedback on whether she was succeeding:

*'Yeah, well I'm not afraid now to ask my managers for feedback... Well at least you know whether you are on the right track or not. You know whether the business wants you to do something differently or whether they are happy with the service that we are providing'*

She further expressed a view that she considered LDP1 to be a safe environment within which she could voice her opinions and observations. She stated that that people in Best Bank had moved into avoidance mode and were 'keeping their heads down' in order to survive the turbulent economic period. In her view this contributed to the fear that she and others felt in speaking up. She suggested she had used the learning environment of the leadership programme to develop her ability to challenge and voice her opinion and, as a consequence, believed she had built an inner self confidence. This suggests that the sub-constructs of authentic leadership theory (i.e. self-awareness and relational transparency) are emerging at Time 2.

Similar to James, the network Ava had developed as part of the leadership development programme had also been an important influence on her development. When discussing why the network was important to her and to her feeling of success she commented:

*'...Oh yeah, I'm not the only one dealing with these types of situations, so using those as a network where you can outside of my own team ... that was, for me, it was a vital step... Then when you came out of that, then you had the ability or the belief in yourself that you could actually do it in other environments'.*

Various researchers outline how developmental networks - i.e. developmental relationships that help leaders to grow as adults and develop the capacity to perform in response to complex leadership challenges - can act as holding environments for both leader and adult development and hence increase leadership effectiveness (e.g. Friedrich, Vessey, Schuelke, Ruark, and Mumford, 2009; Ghosh, Haynes and Kram, 2013; Hoppe and Reinelt, 2010). Similar to James, Ava appeared to be at the 'growing edge' as described by Kegan and Lahey (2010) as her existing (socialised stage) ways of working were no longer functioning for her and while she was experimenting with new ways of behaving, these were still in the process of emerging.

**Participant Name: Jack – LDP2. T1 = 3; T2 = 3(4).**

Jack was almost 40 years old and had been with the bank for over ten years. He had remained in the same business unit since joining the organisation. He had a strong desire to be promoted from senior manager to associate director and felt that his contribution and talent were not being recognised by the bank.

Similar to James and Ava, Jack too was at the socialised stage of development at Time 1 interview. This was evident in his need for recognition and acknowledgement from others and how this impacted on his motivation levels. Throughout the interview, he appeared concerned

with how others viewed him and his self-esteem seemed reliant on the views of others. When Jack discussed why others views were important to him he stated:

*'For me to be motivated anyway I think it's important that if the work you do and the contribution made that its acknowledged...and I'd feel I could probably trust them a bit more because there's a bit more acknowledgement of this...'*

During the Time 1 interview, Jack discussed doing 'the right thing' in the organisation, which possibly demonstrated that a self-authored mind was operating. However, when this is probed, Jack's measure of how he knew if he was doing 'the right thing' was based on feedback from his performance reviews. He did not feel he was good at evaluating whether he was doing the right thing otherwise:

*'I'm probably not very good at evaluating but I suppose one of the measures is the annual reviews...'*

For Jack, there was evidence of a self-authored mind and authentic leadership emerging at the Time 2 interview. For example, he spoke about using his own judgment based on his experiences and how others may have varying views to him. He reflected on how, at this point in time, he felt that given his level in the organisation he should speak up if he felt something was not being approached correctly. This could reflect development in the sub-constructs of authentic leadership. Since the Time 1 interview Jack seemed to have developed the capacity to use his own judgement (i.e. balanced processing of information) and present his own views despite conflicting opinion (i.e. relational transparency). At Time 2 he discussed being comfortable with conflict and being able to influence and 'stand up and be counted' which was in contrast to his Time 1 attitude to conflict which was to avoid conflict if at all possible.

*'...I think the bank kind of deserves you to be engaged...and to make a contribution and to, you know, if you think the bank is doing something that is stupid or the bank as a whole or your department or just somebody in your team or whatever, you know, you really should kind of step up and say, you know, be it to somebody who reports to you*

*or somebody you report to whichever way it is, you know, you are at a level where, you know, you should kind of stand up and be counted...’.*

Jack was therefore object to this as he could reflect on others’ actions and take responsibility for them rather than being subject to those actions. Berger (2005) asserts that those with a self-authored mind (stage 4) are able to examine various rule systems and opinions and mediate between them. This is what Jack appeared to be doing. Despite this, there were numerous examples in the interview reflecting Jack’s socialised stage. This was evident in his need for recognition and acknowledgement from others, including from those he managed, and how this impacted on his motivation levels, in particular regarding whether he was going to be promoted or not. When reflecting on why recognition from others was important to him he stated:

*‘...I think it’s important from a motivational point of view that, you know, hard work is seen to be, you know, rewarded and acknowledged or whatever through promotions...’.*

Jack discusses his dedication to the organisation and how his success is dependent on the organisation’s success. Strang and Kuhnert (2009) outline how those at Leadership Development Level (LDL) 3 (i.e. stage 3 or socialised stage) require mutual support and that promises from and expectations of others are of key importance. However, there is an emerging self-authored mind (stage 4) regarding Jack’s ability to reflect on using his own judgment, but he also recognises that this could be wrong. This provides further evidence to suggest that he can reflect on this and take responsibility for it and so he is object rather than subject to it. In contrast to his Time 1 interview, at Time 2 Jack had a sense of self and could use his own judgement to assess what the ‘right thing’ to do was versus at Time 1 when the ‘right thing’ was derived from others’ views of what he should do.

*‘...I suppose it comes down to my own judgement and what I think is the right thing to do based on I suppose the experience, whatever experience that built up and sort of*

*my, I suppose my view so there is a subjectivity about that, you know. Maybe I'm wrong...'*

**Participant Name: Ella – LDP2. T1 = 3; T2 = 3(4)**

Ella was in her mid-thirties and had been with Best Bank for just over seven years. She had recently been promoted in the organisation and she pointed out that she enjoyed her role in Best Bank. She was in the process of moving department within the bank at the Time 1 interview.

Ella was another participant who was a full stage 3 at Time 1. Similar to James, Ava and Jack, Ella questioned her ability and performance, and even though she was frequently told she was doing a great job, she still doubted this and questioned whether people really meant this. Regarding whether she believed this, she stated:

*'...So if everyone was saying you know, Ella you're great, I don't know how you do it, it's brilliant, well done - see I'm so sceptical as a person as well that I would think, did they really mean that, what did they really think?'*

Throughout her Time 1 interview, Ella discussed this deep concern she had about others' views of her and her level of self-doubt and her tendency to compare herself to others within her work and her family. When questioned about why a recent promotion was important to her, she stated she was happy with the promotion as she saw herself as part of 'the club'. She was subject to her views of being in 'the club' and when probed on it could not reflect on why it was important to her but, nonetheless, viewed it as significant:

*'You see I suppose all the time like I deal with these people...and now you're kind of feeling you're part of a little club or something. I don't know what it is you know'*

In addition, Ella was undecided about whether she should stay at work or be at home as a full-time mother. There was little evidence to suggest that her choice to be at home was self-derived but rather than it was based on what others felt she 'should' do (i.e. some people believed that she should use her degree and stay at work for career progress while others believed she should stay at home with her child). Ella's socialised stage is consistent with the findings of McCauley and Van Velsor (2004) who found that socialised managers were likely to be challenged when faced with 'competing demands from work and home lives' (p. 400). During the Time 1 interview, Ella relied primarily on her socialised perspective to understand values, choices, decisions and actions.

At Time 2, there was evidence of conflict throughout the interview with Ella. She was torn as she recognised that she lacked confidence in herself, had a tendency to over-analyse and over-question things and she internalised other people's reactions so that they became an issue for her. Ella spoke about providing advice to others and even though she had the appropriate knowledge and skill to provide the advice she was still nervous about doing so. When considering where this nervousness came from she commented:

*'To be honest...I tend to over-question, over-analyse and to the point that it actually isn't useful like, to me at all. So it's to try and get more comfortable with if I'm right, I'm right, and like going with your instinct, if you know what I mean...'*

This recognition had brought about a desire for her to change and be more comfortable in her decisions and not own other people's reactions; thus a more self-authored mind was starting to operate but was only beginning to emerge. Her expression of this desire for change was self-derived and did not appear to be generated because of the views of others:

*'...because I know it's not going to be beneficial in the long run, and I kind of – I kind of chose that. But there's a part of me, I suppose, that can't be accountable for other people's reactions to things as well and I always feel [I think] that I am responsible for that. So like there is that desire to stop that type of behaviour in me...'*

This suggested that Ella was conflicted in a number of areas of her life; she recognised the need to develop and she had a desire to stop certain types of behaviour (e.g. owning other people's reactions to events or issues), however, she was struggling to make the transition to a self-governed system. This provides evidence of self-regulation. Latham and Locke (1991) note that people are naturally self-regulators but not all people are effective self-regulators. It appears, however, that Ella had the capacity to self-regulate effectively.

**Participant Name: Amelia – LDP2. T1 = 3; T2 = 3/4**

Amelia had been with the bank for approximately 14 years. She was in her mid-forties and had worked primarily in one department within the bank and had reported to one Director during that time. Due to the financial crisis, her reporting line and role had changed and her line management responsibilities were significantly changed. She indicated at the Time 1 interview that she was struggling with work/life balance and was hoping the leadership development programme could assist in that area.

At the Time 1 interview Amelia, like other participants, was starting on the leadership development programme and had a strong desire for recognition. She highlighted the positive impact recognition had on her morale and drive:

*'... recognition is important to me....I think it definitely boosts your whole morale and it drives you forward...'*

She also spoke of her commitment to the organisation and was frustrated when others were not as committed as she was, for example, when staff members she managed would not work overtime to complete tasks. When probed on why this situation frustrated her she identified other team members' lack of desire to work overtime as a 'lack of loyalty' to her and felt let down:

*'I suppose that sometimes...you do feel a bit let down. That they don't have the same focus that you would have, you need to give it an extra half hour or whatever it is and that is a very tough one...'*

At the Time 2 interview, there were several aspects of the interview with Amelia which demonstrated that a socialised stage was still present for her. However, she went through a transformational period over the year as a result of her interactions on the leadership programme, her Lifestyles Inventory (LSI) feedback and her coaching sessions and had moved by two transitions to 3/4. Amelia discussed how she believed she had changed over the past year and when discussing why this change had occurred she stated:

*'I think probably around this time last year...I probably did do a rain check and I think doing the course as well really, really helped. Particularly sitting down with my coach, she was a huge influence over me changing things...she makes you think of things in a different way and I think that's been a huge factor...'*

Amelia indicated that she had previously spent a lot of time in the bank at the expense of her personal life. While she had been concerned about what others thought of her, this had changed in the last twelve months. This suggested that a self-authored mind was now operating as she was now more comfortable with conflict and voicing her views on issues and it appeared that she no longer internalised others' views. However, she was uncertain in that she had to remind herself of this frequently; hence she was not fully self-authored but is self-regulating and changing her behaviour and attitude when managing conflict. Amelia used several approaches to assist her with maintaining the changes outlined above, such as reminding herself that she could not control others' thoughts and that she needed to be aware of her impact versus her intention in how she interacted with others. For example, she discussed how she was managing conversations with those more senior to her in a better way where there may have been challenging decisions she or her team had made. She believed she now listened more to their concerns and was not reacting to situations that she previously would have reacted to and in this way was managing what would have been conflict situations

in a much more constructive manner. Amelia believed her relationship with those reporting to her was also strengthened as, since participating in the programme, she was less concerned with their views of her and was more focused on their development.

The difference between Amelia and others who had demonstrated development beyond a fully socialised stage was that while others had identified the need to change and could discuss this, they were not necessarily actioning the change in the same way as Amelia. She had actioned change and discussed specifically how she had reorganised her own work and had identified her key responsibilities which she felt she had previously deprioritised in order to assist those in her team who needed her help. As a consequence, projects she was responsible for fell behind. This was no longer the case, however, since completing the leadership programme. Amelia also discussed how she had changed her one-to-one conversations with those who reported to her and how she had reacted to and changed her behaviour based on her self-report on the LSI. This demonstrates that Amelia had improved her self-awareness which is one of the sub-constructs of authentic leadership. She discussed how she had initially not believed the feedback results but that over time this view had changed:

*'I can't believe this is what I'm saying about myself...that was a huge...that probably was a huge part of my change as well as the sessions...I had to focus on what I had actually put down about myself and that was a huge challenge because there was a lot of green areas and there were a few reds and initially I thought 'I'm not aggressive'. Then when I read what each one meant and broke it all down I thought 'Mm, it actually is very true'. That was a huge part of my change...'*

Throughout interview 2, Amelia stated that she had to remind herself and challenge herself not to internalise or take on others' views or to allow work to occupy her whole life. When discussing why she now challenged herself in this way, the motivation appeared to be self-derived:

*'...and you just have to, you either stick with work as your whole focus or you decide no, that's not what I want to do. That's what I've decided, that's not what I want'.*

While the participants above were all participants in the leadership development programme, four participants from LDP1 and LDP2 did not develop beyond their interview 1 stage of development (these were Sophie, Archie, Luke and Mark). Sophie's interview is outlined below as an example of a participant leading from stage 3 (i.e. the socialised stage) who did not develop in the intervening period.

**Participant Name: Sophie – LDP2. T1 = 3; T2 = 3.**

Sophie was 40 and had been with Best Bank for over 15 years. She had spent all of that time in the one division and had progressively moved through that division to senior manager level. During both the Time 1 and Time 2 interviews, Sophie was focused on the technical aspects of what she had learned from the LDP2 and, unlike others, had not expressed a desire to progress or move within Best Bank. She did, however, discuss the feedback tool and stated that she felt that the aggressive aspects of her profile were appearing as a consequence of the role she fulfilled (i.e. that it was a target driven role). She also believed these emanated from her family life and the need to be financially independent given that her family struggled with money in the early years of her life. Sophie was fully socialised at both interviews and the focus for her was on delivering what others expected of her. She spoke consistently about her career and the fact that this brought financial independence to her, which she placed a very high value on. Sophie placed a strong emphasis on the relationships she had, both internally in Best Bank and externally in the marketplace, and when queried on which was most important to her the link to pay and maintaining her position was her response:

*'I suppose the internal one is always the most important really because that's where your career is and that's where your job is and that's where you get paid and that's where it really matters as to how the internal perception is and how you are actually doing your job, in maintaining your position I suppose out there'.*

At neither the Time 1 nor Time 2 interview did a self-governed system appear to be operating. Interestingly, when Sophie reflected on the benefits of the leadership programme she focused on how meetings were now more efficient and how it had helped her when the need arose to prepare reports or presentations:

*‘So, it would have had a big impact on me... when you are working through a problem or working through presentations...A lot of those little anagrams that you use we still use them to keep in your diary upstairs to help you when you are just trying to put a report or a presentation together’.*

Mark, an LDP 2 participant who had not developed also focused on similar aspects of the programme as did Dylan (LDP 2, T1 = 3; T2 = 3(4)). These aspects of development appear to be quite operational versus transformational in nature and are more aligned to what Heifetz (2009) termed as technical challenges (i.e. challenges that attempt to fix ordinary changes within a system, while essentially keeping the system as is). Another interesting point to note is that both Archie (LDP 1. T1 = 4(3); T2 = 4(3)) and Sophie had the same coach, which could have had an influence on their lack of development. Archie was a participant from LDP1 who did not develop, however his developmental stage was already at 4(3) at the Time 1 interview, so this too may have been a factor in his lack of development. Archie also discussed during the Time 2 interview how, in comparison to other programme participants, he did not think he had found the coaching as beneficial as other participants. This could be reflective of other participants finding the coaching more beneficial because of their socialised stage of development or it may also be because Archie’s coach was not at a more advanced stage than Archie. In addition, Archie had also recently transferred to Best Bank and had found the transfer ‘extremely challenging’ and had indicated at the Time 2 interview that following participation in the programme he did not think he had developed and queried whether it was possible that he had even regressed since starting the programme.

## 6.2.2 Control Group Development

While there were four participants who did not develop while participating in the leadership development programmes, there were also three participants from the Control Group (Ryan, Daniel and Matthew) who developed between the Time 1 and Time 2 interviews from stage 3 (socialised stage) to 3(4) (self-authored stage emerging). The Control Group represents the baseline for comparison with those in LDP1 and LDP2. While they did not participate in either leadership programme there may have been other organisational or personal changes that impacted on their development. Bartone et al (2007) suggest that external environmental experiences that an individual must respond to at home or work etc. can spur developmental growth. Ryan was one of the participants from the Control Group who was leading from stage 3 at the Time 1 interview and had developed by the Time 2 interview.

### **Participant Name: Ryan – Control Group. T1 = 3; T2 = 3(4)**

Ryan was in his mid-thirties and had been with Best Bank for almost seven years at the Time 1 interview. He was a senior manager and had recently changed roles in the bank. He had viewed the transition to another function as positive and believed that he now had more autonomy. As a consequence of the move he stated he had a new-found confidence in his new role and in his ability to apply skills and experience from his previous role to the new position. Ryan's line manager had also given him autonomy and had delegated responsibility to Ryan for a specific area of their business.

At the Time 1 interview, Ryan was quite concerned about others' views of him and outlined how he doubted himself when he was in discussions with others. In a similar vein to Ella at Time 1, he discussed how he tended to 'overthink things':

*'I guess it's what are other people thinking as they are listening to what I'm saying so I'm probably over thinking it...again it's over thinking things and 'How does this come across?' and then you sort of, you are second guessing yourself, you are doubting yourself...'*

By the Time 2 interview, Ryan was feeling more confident in his role and provided evidence of some self-authoring. He discussed how he felt more in control of his role and his life in general. This sense of confidence and control appeared to be internally derived versus his Time 1 interview where he doubted himself based on others' views of him:

*'I just feel more in control of my own little element of the bank, my own little world ... I definitely have a better work/life balance, well even my wife has said to me I'm in better humour and I'm home...so it's great...'*

Overall, Ryan demonstrated that he had transitioned from a full stage 3 to 3(4) between interview 1 and interview 2. This was perhaps due to an internal transfer to a new department and his new-found confidence in his ability to apply skills and experience from his previous role to the new position into which he was promoted.

**Participant Name: Daniel – Control Group. T1 = 3; T2 = 3(4)**

Another Control Group participant Daniel also developed by one transition from a 3 (fully socialised) to some self-authoring (stage 4) emerging i.e. 3(4). Daniel had recently been promoted in the organisation into a back office function. He was in his early thirties and had been with Best Bank for seven years. At the Time 1 interview, Daniel did not appear to have an established sense of self and he appeared to allow others to set expectations for him, which he wanted to live up to. Those more senior in the organisation to Daniel set out his work agenda and he did not seem to drive this himself. He discussed his concern about letting others down and when probed on this identified that he believed a broad range of stakeholders in the organisation had expectations of him:

*'...It's strange because you feel sometimes, you feel it's the rest of the bank, it's not just generally your line manager who sets your expectations, it's other people in the bank who would say, oh you are responsible for that...'*

At the Time 1 interview, Daniel's socialised perspective was also evidenced by his concern about others' views of his performance, including those reporting to him, and how this would impact on his working relationship with them. When discussing why others' views were important to him he stated:

*'...people's perception of what you do, whether you are capable or whether you are dependable you know, their view of you, it changes people's working relationship with you...'*

As stated by Helsing and Howell (2012) those leading from a socialised stage look to outside sources to determine whether they have succeeded or not and this appeared to be the case for Daniel.

By the Time 2 interview, Daniel had taken control of his responsibilities and was no longer allowing others to set the agenda for him. When commenting on why this had changed Daniel stated:

*'...[I'm now] willing to take the ownership...so, you know, if I sign off on something and say it's right and it's wrong, I'll take that on the chin...'*

He was also less concerned about what others thought of him and he wanted the responsibility and to do a good job for himself. His sense of self seemed to have evolved since the Time 1 interview. When queried on what was driving this desire to deliver in his role he stated:

*'...Whether there is someone looking over my shoulder or not or whether someone cared about whether I did it or not, I would still want to, you know that sense. It is not all about what people think of me too, it is my own self...'*

However, within the Control Group, there were seven participants (Liam, Thomas, Patrick, Alex, John, Jamie and Charlie) who did not develop. Liam's interview is outlined below as an example of those who did not develop in the Control Group.

**Participant Name: Liam – Control Group. T1 = 3; T2 = 3.**

Liam was with Best Bank for less than one year and was almost 40 at the Time 1 interview. He had joined as a senior manager into a back office function and had found the transition to Best Bank both rewarding and frustrating. He had high expectations of others and when these were not fulfilled, he took this as a personal affront and found it difficult to assimilate his views of those people regarding how they had behaved.

At the Time 1 interview, Liam was concerned about others respecting him as a leader and he had a pronounced emphasis on enjoying being part of a team. He seemed to get a significant amount of reward from being in a team and was hurt and disappointed when others he had placed on a 'pedestal' did not behave as he expected and this impacted on him being able to trust others. There was evidence that stage 3 was fully operating at the Time 1 interview when Liam discussed being 'let down' by others:

*'...I put people up on pedestals and I get upset when they let you down and ever since I was a kid I can remember an example of putting people on pedestals and being let down and that is something that you know you try to do and you sort of – you expect people to behave one way and when they don't that is disappointing and that is the hard thing...'*

At the Time 2 interview, Liam was still quite concerned about others' views of him. His opinions seemed to be based on what other colleagues and senior executives in the organisation had told him. He also really wanted to be appreciated by his team and by others and got upset when he thought someone he had a good relationship with deleted his number from their

phone. When discussing why this upset him so much and whether there could be another explanation for what happened he commented:

*'...he deleted my number out of his phone and it just really, I found it...I was quite hurt and quite upset by that because I thought we'd had a pretty good relationship... I'm a very loyal person and I thought I was completely discarded...'*

As outlined above, Liam, like Sophie and Archie did not develop between interview 1 and interview 2. There may be several reasons for this, which will be outlined below.

### 6.2.3 Reasons for Lack of Development

Research has suggested two primary reasons for a lack of advancement to higher developmental orders (Day et al, 2014). The first reason for the stability of developmental stage is a lack of challenge in one's environment (Palus and Drath, 1995). Without challenge, conflicting information is quite scarce and there is little reason to engage in individual development (McCauley et al, 2006). As a consequence, individuals simply assimilate new information within the current framework of thinking (Day et al, 2014; McCauley et al, 2006). However, this should not have been the case for participants in the leadership programme within Best Bank as each of the participants had a coach who was expected to provide challenge as part of the coaching relationship. It is interesting to note that two of the participants had the same coach and perhaps were not as challenged in their coaching relationship. The second condition that thwarts developmental movement is where there is an environment that has ample challenges but lacks sufficient support for such development to occur (McCauley et al, 2006). Again, one would have expected that given participation in the leadership programme, all participants would have experienced an element of support via their coaches. However, these findings would suggest that perhaps one to one coaching alone was not sufficient to ensure development. For those at the socialised stage of development, the

importance of line manager support, the one-on-one coaching and the network developed while participating in the leadership development programme were of critical importance in their development as measured by the SOI.

#### 6.2.4 Complexity in Meaning-making

Table 6.3 provides further examples of responses during interviews that demonstrate the range i.e. from lower to higher stages of complexity in meaning-making by senior managers operating from the socialised stage (stage 3) and how these contrasted with those of senior managers operating from the self-authoring stage (stage 4) (i.e. a more complex way of meaning-making). For example, in reviewing responses to understanding their own limitations, Mary (LDP1. T1 = 3; T2 = 3(4)), outlines how she is self-critical and compares herself to others which reflects her socialised stage. Luke (LDP1. T1 = 4; T2 = 4) appears to understand his own limitations and can reflect on these, he is not subject to them which reflects his self-authoring perspective.

**Table 6.3 - Complexity in Meaning-making**

	Less Complex Responses (Stage 3)	More Complex Responses (Stage 4)	
<b>Interviewee</b>	<b>Understanding own limitations</b>		<b>Interviewee</b>
Mary – LDP1. T1 = 3; T2 = 3(4)	T1: <i>I would be quite self-critical because ...I suppose I would tend to analyse things... I suppose a fair bit. I suppose compared to other people, other people seem to have this kind of you know, innate sense of kind of confidence and self-worth than you know and I...I don't know, I kind of you know, I wonder where do they get that from.</i>	T2: <i>...people know what you can and can't do for them because I think one of the things you learn once you get older is you understand your own shortcomings so that you can be better and at least you are up front with people and say look, I can do A – I feel that's good, that kind of thing.</i>	Luke - LDP1. T1 = 4; T2 = 4.
<b>Interviewee</b>	<b>Views on those reporting to them</b>		<b>Interviewee</b>
Alex – Control Group. T1 = 3;	T1: <i>...I want my direct reports to respect me and recognise the contribution I</i>	T1: <i>...my focus is on assisting them [i.e. people reporting to me] to</i>	Ben - LDP1. T1 = 4(3);

	Less Complex Responses (Stage 3)	More Complex Responses (Stage 4)	
T2 = 3	<i>make to our department and the organisation...it's important that they do otherwise I might not be taken seriously...</i>	<i>achieve their full potential. I want them to develop during their time reporting to me...that's something that's always been important to me...</i>	T2 = 4.
<b>Interviewee</b>	<b>Response when something goes wrong</b>		<b>Interviewee</b>
Emma – LDP1. T1 = 3; T2 = 3(4)	<i>T1: I suppose if I did something wrong...I think I would take it more to heart or something</i>	<i>T1: ...my role is constantly dealing with things that I may not know much about it or might not have a huge comfort level with, you just become desensitised to it.</i>	Adam – Control Group. T1 = 4; T2=4.
<b>Interviewee</b>	<b>When presented with an opportunity to give their opinion</b>		<b>Interviewee</b>
Ava – LDP1. T1 = 3; T2 = 3(4)	<i>T1: ...I might just sit there and say nothing and I'm quite safe in the background and not say anything which is not necessarily good</i>	<i>T2: I don't mean I am overly opinionated but that is the difference between having yes men lieutenants and getting an honest answer. Sometimes that could be unpopular or not the most diplomatic form as in if you are being political which one thing is but you have to communicate if you see something fundamentally flawed.</i>	Thomas – Control Group. T1 = 4(3); T2 = 4(3)
<b>Interviewee</b>	<b>Views on being competent</b>		<b>Interviewee</b>
Charlie – Control Group.	<i>T1: I suppose it's important that people would respect</i>	<i>T2: I don't believe you can actually make an</i>	Ben – LDP1. T1 = 4(3);

	Less Complex Responses (Stage 3)	More Complex Responses (Stage 4)	
T1 = 3; T2 = 3.	<i>me and actually think that I would be good at what I do and they would see me as competent and that I would be able to deliver on targets or whatever jobs they have set for me...</i>	<i>impact without holding yourself out, putting yourself on the line, being brave and believing in your own skills, analysis and whatever you have done to actually make the decision and actually as opposed to just going – okay, we will go along with the group consensus here.</i>	T2 = 4

### 6.2.5 Summary: Transitioning from Stage 3 (Fully Socialised Stage) to Stage 3(4) or 3/4

In summary, each of the participants outlined above demonstrated at the Time 1 interviews that they were at the socialised stage of development. Their socialised stage was demonstrated by their need to feel more valued, particularly when others (i.e. those more senior to them, those reporting to them or colleagues, family etc.) gave them either verbal or material recognition or feedback. They also had a common concern about voicing their opinions and were concerned about others' opinions of them. Several of them were frustrated with work/life balance and were uncomfortable with conflict and found ways to avoid it. This is consistent with the central concerns identified by McCauley et al (2006) who state that 'approval, mutual respect and affiliation' (p.637) are reflective of the socialised stage of development, as well as being concerned when conflicts arise based on the expectations of valued others.

While a socialised stage was dominant for each of these participants at the Time 1 interview, by the Time 2 interviews there was evidence of an emerging self-authored mind and a self-belief system. Each of the participants was addressing an adaptive challenge. Heifetz (2009) states that an adaptive challenge involves a disparity between values and circumstances, which often requires that people change their values and take action to clarify

values. Heifetz cites organisations such as British Airways and KPMG, who engaged in adaptive work which, for example, allowed KPMG to identify €50 million to €60 million of new business opportunities and fundamentally changed the leadership approach from one which was top down and based on seniority to one that was based on confronting challenges, changing perspectives, adjusting values and learning new habits. It would appear that between the Time 1 and the Time 2 interviews, each of the participants at the socialised stage was experiencing this need to clarify their values and to find new ways of operating within the bank that did not rely on them working to please others, but instead involved them identifying what they viewed as important and having the confidence to voice their views when in a group setting. Their identity was evolving and becoming clearer as a consequence of participation in the leadership programme and participants discussed how their behaviour had changed, how their values were evolving, and how they now had clarity regarding their goals. This is consistent with Day et al (2009) who suggest that a well-defined leadership identity helps shape clear goals and values which guide behaviour, aid in decision making, and help establish trust. For this cohort of participants, the network established via the leadership development programme, the one-to-one executive coaching, having a line manager who was engaged in their development and was supportive, as well as increased self-awareness, appeared to be the key elements which were particularly prevalent in assisting with their transitioning from one developmental stage to another. This is consistent with the literature on leadership development which indicates that networking is a valuable means through which such development takes place (Ghosh, Hayes and Kram, 2013; Hoppe and Reinelt, 2010; Friedrich et al, 2009). Coaching has a role to play in leadership development (Ladegard and Gjerde's, 2014; Carey, Phillipon and Cummings, 2011; Ely, 2010), and increased self-awareness facilitates development (Avolio and Gardner, 2005; Goleman and Boyatzis, 2002; Day, 2001).

### 6.3 Participants Leading from Stage 4 – Self-Authoring Mind

According to Kegan (1984), people in the self-authoring stage of meaning-making are: (1) more in control of issues rather than allowing issues to be in control of them, and (2) do not define themselves by how others react to them or perceive them. Kegan (1984, p.168) states that organisations expect staff to be 'self-initiating, self-reflecting and self-evaluating rather than depending on others to frame problems, to initiate adjustments or determine whether things are going acceptably well'. At this stage, individuals have more independent thinking with an ability to challenge rather than automatically follow others' expectations and demands. This independent thinking stems from a system of values and principles, which govern how an individual lives (Helsing and Howell, 2014; Kegan and Lahey, 2010; McCauley et al, 2006).

There were ten participants leading from stage 4 across this study at Time 1: four participants in LDP1 (Ben, Archie, Harry and Luke); two participants in LDP2 (Paul and Adam); and four participants in the Control Group (Thomas, Patrick, John and Matthew). Their stage 4 perspective was demonstrated by their tendency to have a self-belief system which governed their behaviour and how they reflected on issues. McCauley et al (2006) state that self-authoring leaders are more likely to 'enact leadership in ways deemed more effective in most modern organizations...and are more likely to delegate, hold people accountable, influence through rewards and expertise (rather than coercive power), look for underlying causes of problems, act as change agents, and be more comfortable with conflict' (p.647). Similarly, research has shown that people who operate from advanced meaning-making structures are more strategic (Bartone et al, 2007; Eigel, 1998; Hirsch, 1988; Bartunek et al, 1983), allocate resources more effectively and efficiently (Helsing and Howell, 2013; Torbert, 1987), generate more revenues (Torbert, 1991; Hirsch, 1988), and are perceived by their peers and subordinates as more effective in their leadership roles (Strang and Kuhnert, 2009). However, as Berger (2011) states the key limitation of self-authored meaning-making is that a person becomes embedded in this self-governing system (i.e. they become embedded in their views).

Harry, Ben, Paul and John were leading from Stage 4 during the Time 1 interviews and the following section outlines how this was evidenced during the interview process.

**Participant Name: Harry – LDP1. T1 = 4(3); T2 = 4**

Harry was in the bank for over 14 years, was a senior manager and was almost 50 years of age at the time of interview 1. He had strong views regarding how the culture in the bank had changed as a consequence of the financial crisis and he believed that how people were treated by senior management (e.g. Executive Directors) had fundamentally changed. When discussing the ways in which he believed the culture had changed he stated:

*'...like the reality is, you will get walked on, if you actually stand your ground in here at the moment. There was a bit more – there was a bit more friendliness about the way it worked in the past and it's not that way anymore. It's kind of like, you get people coming to meetings and 'It is this way, it's this way, it's this way' and a lot of it too is just politics, a lot of it is just kick ass'.*

Harry was regarded as being at 4(3) at the Time 1 interview. There were several aspects of the interview which demonstrate that a socialised stage was still present for Harry. He had gone through a transformational period over the last number of years from being very committed to the organisation and being focused on his career, to no longer being so focused on his career. However, this had caused him to feel conflicted and he had found the situation tough, as though he had to give up a piece of himself. There appeared to be quite a bit of movement away from stage 3 and movement towards stage 4, although stage 4 was not operating fully at Time 1. At the Time 1 interview, Harry was quite uncertain by the change in himself and felt it had cost him his 'niceness'. He discussed what the cost to him of losing this 'niceness' was:

*'...because I think I was a nicer person a couple of years ago but nice people get taken advantage of. I would be far more ruthless you know and that is the example of torn*

*that I had but having said that I should have realised that after one year not three or four years...’.*

In general, Harry was no longer as concerned about pleasing others or wanting others to like him, nor did he require the recognition that those at a full stage 3 seemed to require. However, he had felt conflicted about losing his ‘niceness’ while he had been transitioning albeit that some self-authoring perspective was present. At the Time 1 interview, the self-authored stage was reflected in Harry when he mentioned how his view of conflict was different to another person in the organisation in that he did not let it impact him emotionally. When he discussed this difference in views he commented:

*‘I tend to be a pretty self-contained individual and I don’t depend on my happiness on other people in general...I won’t really care whether people like me or not I would just...it’s an internal calmness in my own skin....’.*

By Time 2 interview, Harry had transitioned to a fully self-authored perspective. He discussed the environment he now worked in and explained how he was previously ‘torn’ over decisions he had made but now he would just rather make a decision and get on with it:

*‘...I actually feel comfortable about it. Before you would be kind of wondering – well if I say this there are these consequences or I might annoy this person or that person. That leads to its own mind games about what you can say and what you can’t say. If you actually just call it the way you see it, what they think is, how will I say this – there is less concern about what they think...’.*

This quote suggests that he had a new self-governing system since the Time 1 interview. The change in him seemed to have been assimilated and he was operating at a full stage 4 by the Time 2 interview:

*‘...there is a period of disappointment that takes a time to get through but then what you have to do is, you have to move on because there is no point in wallowing in ‘oh*

*God isn't this awful', there is no point, you are achieving nothing. You have to go and bloody well do something about it...'*

Harry was not the only participant to transition from stage 4(3) to a full stage 4. Ben, another LDP1 participant also experienced a similar change.

**Participant Name: Ben – LDP1. T1 = 4(3); T2 = 4.**

Ben was in his mid-thirties and had been with the bank for almost eight years and was an Associate Director. He was ambitious to progress within the organisation and had moved departments during his time with the bank. In each of the roles he had fulfilled, he had switched successfully and, at the Time 2 interview, he had recently changed roles to a new area in the bank. During succession planning discussions with HR, the Executive Directors identified him as someone in the organisation who had high potential and who could progress to Executive Director level within the bank.

Similar to Harry, Ben was at the 4(3) stage of development (self-authoring leading with some socialised still present) at the Time 1 interview, but by Time 2 was at a fully self-authored stage (stage 4). Ben appeared to have his own self-governing system, which was primarily based on driving change. He was open to both challenging others and being challenged. During interview 1, Ben provided examples of challenging the Executive Directors, which those at the socialised stage seemed to have difficulty doing:

*'...I mean I probably challenge more than is good for me but I'll always sit down with [Executive Director 1] or [Executive Director 2]. Sometimes I lose the argument but I'll say 'Look, you know, I don't think we should do it this way. I really think...'*

While Ben was a driver of change in the organisation and was willing to challenge when necessary, he still held a socialised perspective in that he was concerned about how others viewed him and when he discussed why others views of him were important he stated he wanted others to understand what he and his area had achieved:

*'...so long as people understand what we have done, that we have worked hard and that I have, you know, done well in a difficult environment, so long as that's understood whether they choose to acknowledge it or not, it's up to them...'*

At the Time 2 interview, Ben was very focused on his desire for change and his ambition for himself and the bank. He had a self-governed system in operation based on this need for change. He was aware and interested in others' perspectives, but was also not threatened by differences of opinions. There were many places where he indicated being comfortable with such differences of opinion. For example, when he discussed why he was comfortable with change he stated:

*'I have never been threatened by change. Change delivers opportunity. Change can make you more efficient, can make you more relevant and make you more valuable individually and organisationally...you are never going to make a conscious decision to change for the worse...'*

Ben was steadfast in his view, for example, of change and did not seem to recognise that there could be limits to this system (i.e. if others were not on board with this he thought it would cause difficulties for the delivery of the overall goal of transformation and high achievement). This is one of the limitations that Berger (2011) identified with the self-authoring stage (i.e. that a person identifies too much with their particular view and is limited in seeing others perspectives). This may cause conflict with others as the self-authored person cannot easily see connections between their own ideas of what is 'right' and others' views of what is 'right' and this could cause tension. In addition, if the world changes in such a way that a once good frame of reference or perspective becomes outdated then this could cause issues for a self-authored person (Berger, 2007). Ben noted that he had used knowledge gleaned from the leadership programme to think about and manage strategic challenges he faced. In order to develop further, Ben would need to be able to see others' perspectives and take these into account as a leader in the way that Paul had developed. Paul had been a full stage 4 at the

Time 1 interview and by the Time 2 interview some self-transforming stage (stage five) was emerging.

**Participant Name: Paul – LDP2. T1 = 4; T2 = 4(5).**

Paul was in his late thirties and had joined the bank in the last three years. He had experienced leadership development programmes in previous organisations he had worked in and had ambitions to progress in Best Bank. During succession planning discussions between the Executive Director team and HR, he too was identified as someone who may have potential to progress, however, it was relatively early in his career in the bank.

Paul also had a self-authored perspective at the Time 1 interview. Paul could see others' values systems and appeared to be comfortable with conflicting opinions. He also questioned whether ambition was the only option for him in life, but at the Time 1 interview believed it was most relevant given his circumstances and the opportunities he saw being present in Best Bank. For him, the change agenda and career progression seemed to be his core focus, as well as living by his value system. When he discussed success and why success was important to him, his response concerned not only his own success but the positive impact that it could have for other people in the organisation:

*'...it's not just about changing things for the better but it's about changing things for a deeper purpose... so the outcome is better for everybody...'*

Paul goes with his 'gut instinct' when making decisions and unlike others who lead from the socialised stage (e.g. Ava, James or Ella), he did not appear to rely on other external opinions or to procrastinate when making decisions.

*'...The best way of reflecting is if something doesn't feel right, it doesn't feel right. When something feels right you know you're on a better path. The gut instinct I think is very important...'*

When reflecting on a specific issue as a result of the financial crisis he stated that one of the things he had learned most throughout the period was the importance of resilience and being true to his values. He had a view that some of the issues that arose during the banking crisis were as a consequence of people within the banking sector and other areas (e.g. governance organisations and government) not being open, honest and direct about the situation within the banks. He believed that in his prior organisation, he helped to create awareness about the situation and that he was part of the solution because of his honest approach, which he stated was an important value to him. He believed that the culture of the organisation was one of dishonesty at that time and he was behaving in contrast to the culture. This, he believed, assisted him in becoming even more resilient and made him more determined to stay true to his value system. When further probed multiple times ('where does confidence come from, how do you know that you are doing a good job, why do you want to be promoted?') to determine where Paul's self-worth/value was coming from, his responses showed that it was self-derived. In each of his responses, Paul was focused on an internally derived value system. When his success was at all dependent on others, it was for the success of the organisation - a value that he held in high regard:

*'...one of the things I learned most was the importance of actually being true to your own values and if you see something wrong, calling it, sometimes listening to your gut...'*

At the Time 2 interview, Paul had transitioned to 4(5) i.e. as one of only two participants in this study whose mental complexity had developed to include the self-transformational stage. During interview 2, in the context of progressing his career and continuing to learn and develop, Paul discussed self-actualisation and how he might know if he was or was not self-actualised. However, at this stage in his life he felt he was not there but was on a journey towards self-actualisation:

*'When do you become self-actualised? I haven't worked that out yet but what I have seen, I have seen certain people who are and it is nice to see.... Until you get there, I*

*am not sure you really know it and maybe when you do get there you probably don't recognise it but that is going to be an interesting journey'.*

Throughout the Time 2 interview, Paul discussed his values, going with his 'gut' and what he felt was right and wrong and how he had learned from difficult experiences. While the language may differ, the sentiment of his interviews was similar to how Luthans and Avolio (2003, p.243) define authentic leadership which they posit is a process '...which results in both greater self-awareness and self-regulated positive behaviour on the part of leaders and associates, fostering positive self-development'. Authentic leaders have an understanding of how they derive and make meaning of the world and how that meaning-making process impacts the way a leader views themselves over time (Avolio et al, 2008; Kuhnert and Eigel, 2008). During the Time 2 interview, Paul reflected on how he made meaning from the challenging role he held in a previous organisation, and how that helped in his current role within Best Bank and how it had impacted on his value system and his desire to live by that system. He outlined how he had used concepts from the leadership programme to add more value at a strategic level in the organisation and to assist him in dealing with problems he encountered.

**Participant Name: John – Control Group. T1 = 4; T2 = 4.**

John was almost 50 years old and had been with the bank for over 20 years. He had moved departments during his time with the bank and, while ambitious to succeed and make a contribution to the success of the organisation, he stated that he was not specifically focused on his own progression. During his time with the bank he had some difficult relationships which had proved challenging, but on each occasion, he believed his sense of self and his value system were what had enabled him to continue to be successful and remain with the bank.

At the Time 1 interview, John had his own sense of self, his own set of standards about what was right and wrong and appeared comfortable 'in his own skin'. He had a belief that people

should be honest and struggled when this was not the case. He was confident in his abilities and wanted to use them, and he stated he could make decisions for himself and did not rely on others to guide him through decisions, even if they were very difficult life decisions. John discussed how integrity was important to him. When defining what he meant by integrity he stated:

*'Doing the right thing and no one seeing you, I suppose, is the easiest thing. Being what you are even though you are not always right... I've done things, I've stood up at times against... and I've paid the price...I don't regret standing up because there are times when you actually have to be what you are even if it's the wrong answer so you like yourself.'*

At the Time 2 interview, John's value system was still evident. He did not appear to be too concerned about what others thought of him and overall was happy with himself despite events happening in his life that he was not happy with. There was consistency between the Time 1 and Time 2 interview and John did not provide any evidence of transitioning between stages. Deciding on what doing 'the right thing' was, was based on his own value system:

*'I am big into self-actualisation, right, so it's not about getting paid the most or being top of the tree, it's about am I doing the right things that I should be doing? ... I have my own value system...'*

John was at stage 4 (self-authored) at both Time 1 and Time 2 interviews and did not evidence development between interviews.

### 6.3.1 Summary: Transitioning to Stage 4 (Self -Authored Stage)

For those leading from stage 4 (e.g. Harry, Ben and Sean), it appeared that they found the leadership content within the programme useful. When they discussed what (if anything) they found useful from the programme, Harry, for example, stated:

*'I thought it was excellent, I really did think it was excellent. I thought they were very good in the way they, they basically conceptualised what you would do anyway, they kind of put boxes around things you know like, or a framework is probably a better word...'*

Stage 4 participants also utilised the individual feedback assessments (i.e. LSI) to understand their current stage of development, and deployed the one-to-one coaching to challenge their views and to focus on issues that were within their sphere of influence. As Ben, a stage 4 participant, stated:

*'I particularly found the individual assessments and the subsequent coaching very helpful because what it does is it throws a level of sobriety onto your views as in particularly focusing on the stuff within your sphere of influence or control and what you can actually do as in just to forget about the ancillary messing in the organisation. Just focus on what you can do to change, improve and develop so that was great'*

Adam, an LDP1 participant who transitioned from 4(3) at the Time 1 interview to a full stage 4 at the Time 2 interview, stated:

*'...I suppose the stand back and the reflective opportunity that it provided was very good as well. I mean and I suppose the people, there was some very good people, you know, my coach was very, very good and we got a lot out of that...'*

Sean, an LDP2 participant who still had some stage 3 (socialised stage) present at Time 1 but was leading from stage 4 (self-authoring) by Time 2 had the following to say about the programme:

*'I found it very good, the first few anyway. I think what's difficult, I suppose, was just mixing the workload where there's great stuff there and like some of stuff you say 'Jesus that's great' but you had to actually take time out to read it and go through it...'*

Overall, stage 4 (self-authoring) participants found the leadership workshops, which focused on topics such as leadership versus management, performance coaching, and 'leading and motivating yourself and others' were of benefit. In addition, they also found the coaching useful

as a sounding board and as an opportunity for their views to be challenged and refined to determine what they could change and influence in the organisation.

#### 6.4 Participants with Stage 5 present – Self-Transforming

Few adults ever reach the self-transforming stage (stage 5) of development (Kegan and Lahey, 2010; Berger, 2007). People at this stage of development realise the limitations of their self-authored perspective and can reflect on their own and others' belief systems to identify larger patterns. They welcome contradiction and oppositeness and recognise that their leadership identities and those of others evolve over time (Helsing and Lahey, 2010). At stage 5 (self-transforming), people are more open to feedback on their performance and are not threatened by such feedback because they can see that other approaches are possible and even desirable (Bartone et al, 2007). Valcea et al (2011) state that ongoing development of self and others becomes a primary focus and motive for behaviour at this stage of development.

No participant in the current study either at the Time 1 interview or the Time 2 interview was at the full stage 5 (self-transforming) stage of development. Only Matthew and Paul at Time 2 interview demonstrated evidence of the self-transforming stage of development. Paul's interview has been outlined earlier in the chapter and Matthew's is discussed below.

**Participant Name: Matthew – Control Group. T1 = 4(3); T2 = 5(4)**

Matthew was in his early forties and had been with Best Bank for over ten years at the Time 1 interview. He had worked successfully in a variety of roles during that time. He was pursuing study outside of work, which involved deep personal analysis, self-reflection and extensive one-to-one coaching. He regarded the subject content as different to his current field of work. His studies had been conducted over a three-year period and had included psychological profiling. At the Time 1 interview, he was leading from a self-authored stage of development with some socialised stage of development (4(3)) present. He wanted to establish good relationships with colleagues but not necessarily for recognition and approval as others

leading from a stage 3 might require, but he wanted to feel connected to others and be part of a community. When Matthew discussed why relationships were important to him he stated:

*'...We're all social beings. We've grown up in groups; families, groups, you go into school you've groups, every church, whatever, you're all in groups and innately you need to be a part, and to be connected, and it's just some people find that easier and some they find that....but there is a definite need there to connect'.*

Due to his studies, Matthew believed he had undergone significant personal development outside of any development within the work environment. He demonstrated some evidence of stage 5 development at the Time 2 interview. Matthew discussed how his intrinsic values versus external opinions were now of more importance to him (than at the Time 1 interview) and when he discussed why this had changed he commented:

*'I think if you're more true to yourself, it's just, it's easier to interact. You just - you've less thinking about what you should or you shouldn't do, or - you're just being you. So it's not - it's an easier thing to - you've to take on less roles, I suppose, if you don't split off in different roles...'*

When discussing whether he had a need for external validation, Matthew expressed that in this regard he had changed and he noted how the external programme had broken him down to build him back up:

*'It has, yeah. I feel much more comfortable in myself. I'd be less likely to go to external validation of others - actually, possibly rarely... The external course, it kind of breaks you down, then to bring you back up, its trying to get in all the nooks and crannies and stuff like that, but I feel I'm much - I'm in a far different space'.*

At the Time 2 interview, Matthew was much more self-authored in that he had his own self-governed system based on wanting to be in control but he was trying to move beyond this and let go of this need for control. The socialised stage was no longer present at Time 2 and Matthew appeared to be transitioning to a self-transformed mind and discussed how this had

taken place over the last year or so. Overall, he appeared to be tentative; he was not yet comfortable with all of the changes taking place within him and they were not yet part of his subconscious. When discussing (a) why he would say he was not there yet? And (b) what was it about the unknown that made him uncomfortable he commented:

*'...I suppose...actually getting back to your true self. So trying to get to yourself, you know, acknowledgement and self-esteem and all that kind of stuff without external validation and all that kind of stuff'.*

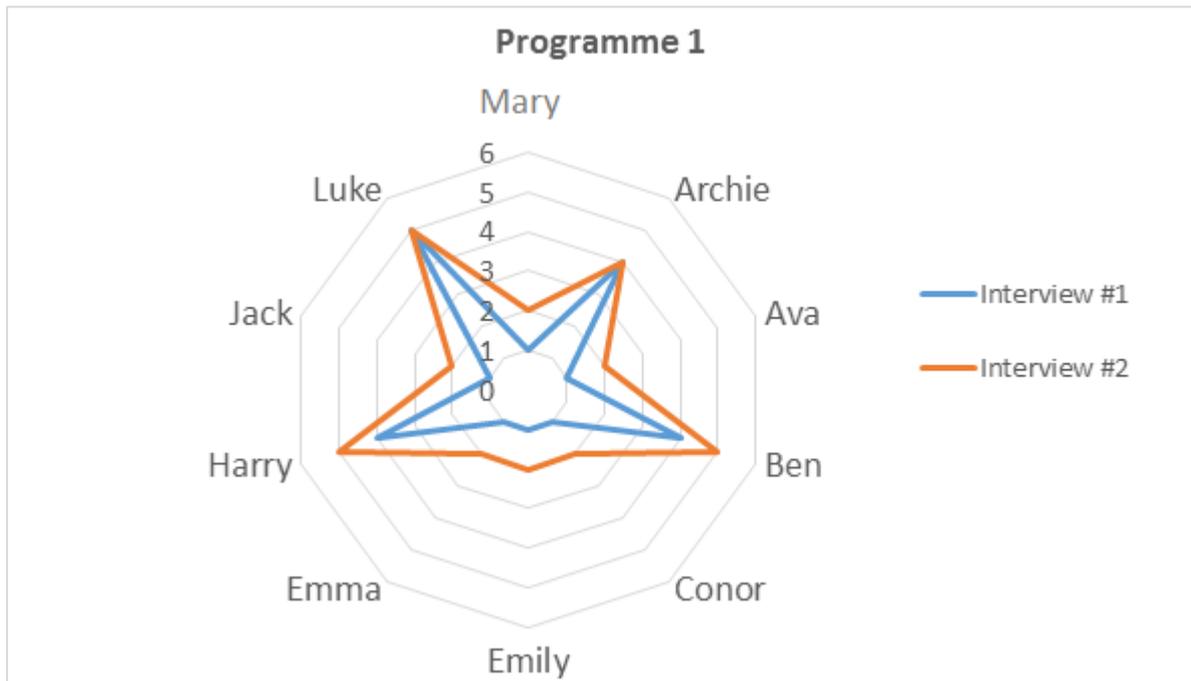
Matthew was in learning mode and was still challenged with the desire to want to control situations; therefore, stage 4 is present, while stage 5 is emerging. He discussed his previous desire to be in control of situations at work but that he was transitioning to being comfortable with the unknown. When discussing what his preference was (i.e. to be in control or face the unknown) he stated:

*'...So it's actually your tendency is to go with trying to have it nice and packaged, but you know, what I'm learning is being comfortable with the unknown. So that's the real learning is actually just getting comfortable with I don't know what. So, I'm not there yet...'*

## 6.5 Summary of Transitions across Stages

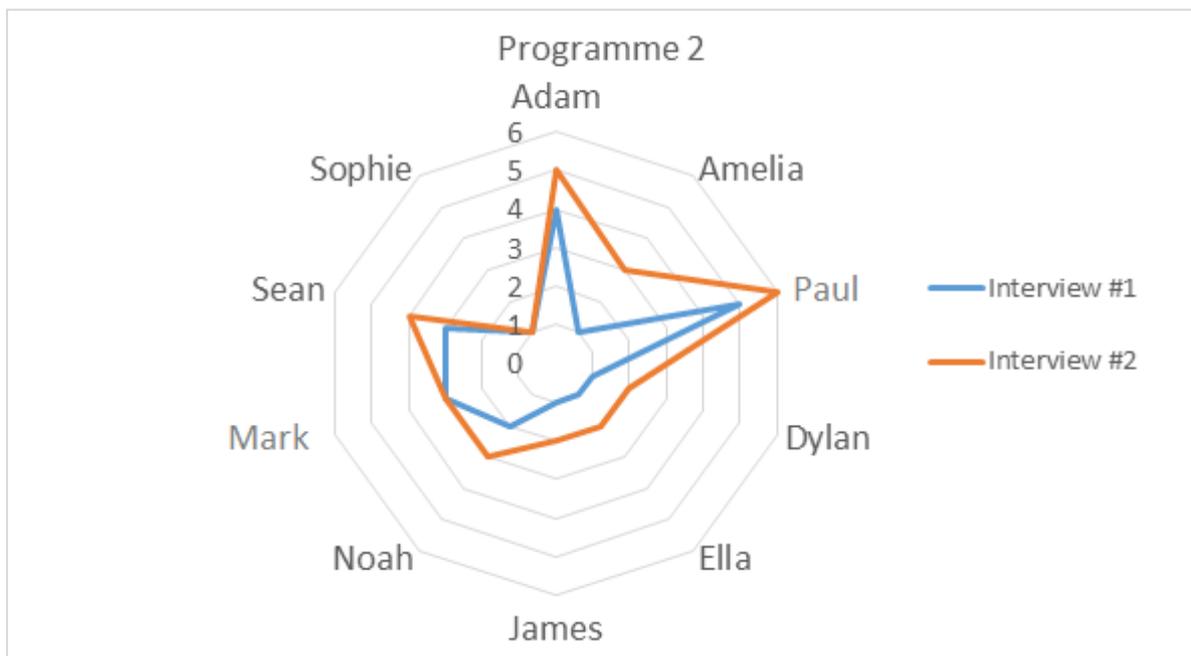
Figures 6.1, 6.2 and 6.3 show the individual transitions per participant in the study distributed by programme participation. They show the developmental stage of each participant by group at Time 1 and Time 2 interviews. The SOI scores have been recoded using a six-point scale where 1 = '3', 2 = '3(4)', 3 = '3/4', 4 = '4(3)', 5 = '4', 6 = '4(5)'. For example, in Figure 6.1 Emily was a full stage 3 at Time 1 but had transitioned to 3(4) by Time 2 interview, whereas in Figure 6.2 Sophie remained at a full stage 3 at Time 1 and Time 2 interview, as did Alex in Figure 6.3.

**Figure 6.1 - Transitions by Participant for Programme 1**



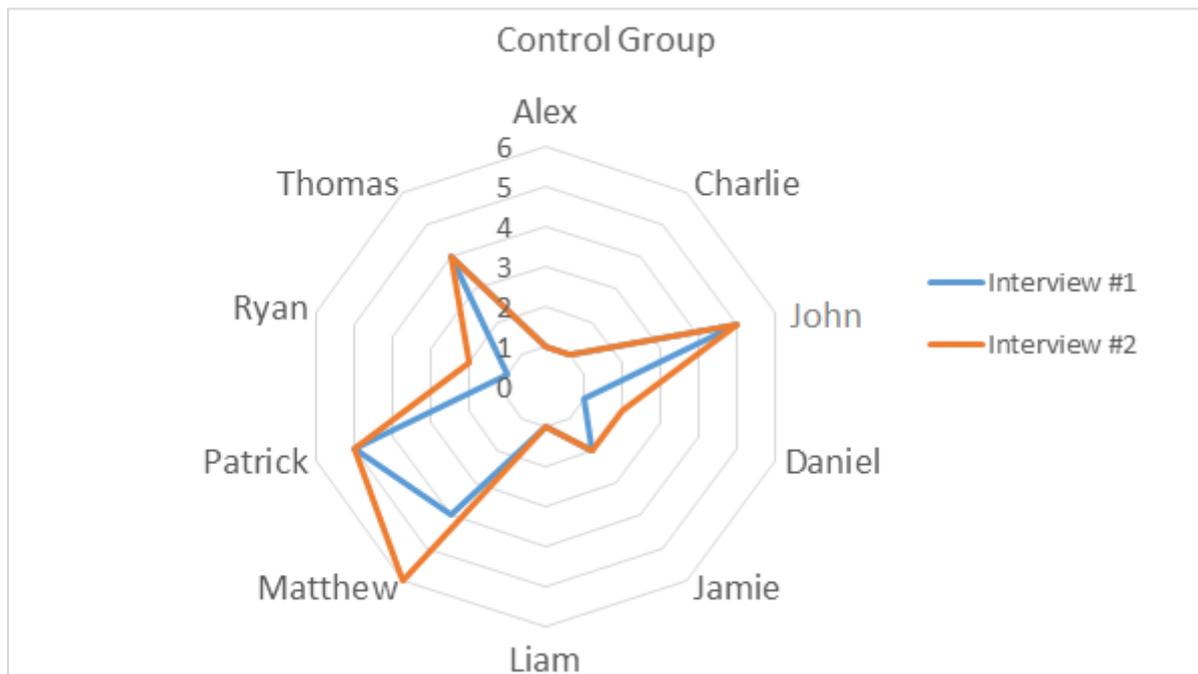
**Note:** Six-point scale used where 1 = '3', 2 = '3(4)', 3 = '3/4', 4 = '4(3)', 5 = '4', 6 = '4(5)'.

**Figure 6.2 - Transitions by Participant for Programme 2**



**Note:** Six-point scale used where 1 = '3', 2 = '3(4)', 3 = '3/4', 4 = '4(3)', 5 = '4', 6 = '4(5)'.

**Figure 6.3 - Transitions by Participant for the Control Group**



**Note:** Six-point scale used where 1 = '3', 2 = '3(4)', 3 = '3/4', 4 = '4(3)', 5 = '4', 6 = '4(5)'.

In summary, the participants in this study were predominantly at the socialised stage or self-authoring stage of development. During the interviews, the participants demonstrated either a less or more complex way of making meaning of their experiences.

## 6.6 Chapter Summary

In summary, this chapter has provided an overview of the results of the Subject Object Interviews conducted during this study. The findings demonstrate that eight out of ten senior managers who participated in the LDP1 and LDP2 developed between the Time 1 and Time 2 interviews as measured by the Subject Object Interview (SOI). A smaller number of the Control Group, three out of ten developed between Time 1 and Time 2 interviews. The chapter outlines the change in mental complexity at the socialised and self-authored stages and discusses the personal development trajectories of a sample of the participants at each stage. The lack of development for a sample of the participants is also discussed. Finally, the

participants in the leadership development programmes indicated that a number of approaches used during the programmes influenced their development and while these are highlighted in this chapter they will be reflected on in more detail in the discussion chapter.

## Chapter 7. DISCUSSION CHAPTER

### 7.1 Introduction

This chapter discusses the findings and outlines the contributions of the study as a whole. The chapter starts with an outline of the study's objectives, which is followed by a more detailed discussion of the key contributions of the study to the small but developing body of literature on Constructive Developmental Theory (CDT) and leadership development. The constructive developmental level of participants in this study versus other studies in the field is outlined. Answers that evolved regarding the research questions are discussed in the context of existing leadership theory, leadership development literature and via a constructive developmental lens in order to understand how CDT might better inform our understanding of leadership development. The key findings from the interviews and the specific triggers and development trajectories that were regarded as beneficial to developing authentic leadership in participants of the leadership development programmes are discussed. Finally, from a practical perspective, a leadership development framework – NO LIMITS – is outlined based on the findings from this study and offers organisations a practical tool to consider when designing a leadership development programme.

### 7.2 Objectives and Contributions of the Current Study

The focus of the study was on understanding the development of participants in a leadership development programme. The following questions were posited:

**Question 1:**

Will individuals participating in a leadership development programme develop from one transition point to another transition point, as measured by Kegan's constructive developmental stages?

**Question 2:**

Which elements (if any) of the leadership development programme will contribute to a participant's development?

**Question 3:**

Will a more advanced constructive developmental level, as measured by Kegan's constructive developmental stages, provide evidence of the development of authentic leadership?

By addressing these questions, the study makes a number of important contributions. First, it answers calls from a number of scholars to connect the leadership development literature to the constructive developmental theory literature (Dinh et al, 2014; Petriglieri et al, 2011; Avolio, 2010 and 2008; Day et al, 2009; Bartone et al, 2007; McCauley et al, 2006; London and Maurer, 2004; Mumford and Manley, 2003) and adds to the small but developing body of research that demonstrates how adult development and leader development are related (Vincent et al, 2015; Akrivou and Bradbury-Huang, 2014; Helsing and Howell, 2014; Kegan and Lahey, 2009).

Second, the study demonstrates that focusing on development (rather than leader performance) as the criterion of interest is useful in highlighting the value of leadership development programmes. Day et al (2014) note that focusing on job performance and changes in performance over time is not the most appropriate approach to understanding the development of leaders or leadership. They state that job performance is affected by many other things than leadership and thus, they recommend that the field of leadership development must focus on appropriate criteria for evaluation, one of which they state is development.

Third, the study outlines how participants at the socialised and self-authoring stages of development discussed various triggers that supported and facilitated their development. The triggers of leadership development were identified based on the developmental stage at which the participants were at prior to starting the leadership development programme. In this way, the study applies Day et al's (2014) suggestion that the nature of studying leadership development can be better understood by 'mapping and understanding within-and between-person change patterns...over time' (p.65). Consistent with Helsing and Howell (2014), this study provided a more nuanced picture of how leaders develop and this assists in understanding why individuals progress along different developmental trajectories as leaders. Generally, developmental stage is highlighted as being important in designing a leadership intervention suited to triggering development in meaning-making capacity for a particular leader.

Fourth, the study answers numerous calls for more longitudinal research on leadership development (Day et al, 2014; Dinh et al, 2014; McCauley et al, 2006) and demonstrates that leadership development can occur over time, which is consistent with previous findings (Vincent et al, 2015; Helsing and Howell, 2014; George and Jones, 2000). Day and Dragoni (2015) state that development involves a process of change that unfolds over time. They advocate for research design and methodologies that have the best likelihood of generating insights in the process of development. They suggest that longitudinal studies that involve tracking individuals over time and that capture particular indicators of development will contribute to research on leadership development. This study has captured indicators of development over time thus contributing to leadership development research.

Fifth, the focus of this study was on developing authentic leaders, which responds to calls from several scholars (e.g. Banks et al, 2016; Cianci et al, 2014; Gardner et al, 2011 and Leroy et al, 2012) for greater emphasis to be placed on how authentic leadership can be developed. In addition, the study answers Gardner et al (2011) and Avolio's (2010) call for greater attention to the design and implementation of intervention strategies intended to foster

the development of authentic leaders. The study demonstrates that authentic leadership development can occur when a leadership programme is designed to focus on vertical development which supports people in developing their current meaning-making capacity so that they can take a broader perspective on their environment. Processes of development such as greater self-awareness, coaching, networks, identity development and self-efficacy enhancement are noted as contributing to more advanced stages of meaning making. Finally, from a practical perspective, the study proposes a leadership development framework – NO LIMITS - which links relevant leadership development processes to Kegan's constructive developmental stages of development. The NO LIMITS framework sets out the triggers of development that are most relevant to the socialised and self-authoring stages of constructive development. The socialised stage and self-authoring stages of development are the stages that characterise the majority of the adult population (Kegan and Lahey, 2009). The framework supports new theorising around the factors that might support development at these developmental stages thus contributing to leadership programme design and advancing authentic leadership theory.

Having broadly identified the main contributions of the study, the next section outlines the constructive developmental level of participants in this study versus other studies.

### 7.2.1 Constructive Developmental Level in Comparison Other Studies

It is useful to consider the constructive developmental level of the study's participants at the outset and upon completion of the programme and compare these findings to other studies in this field. The participant percentages for this study at stage 3 (socialised stage) and stage 4 (self-authoring stage) of development are similar to the ranges found in other studies at the Time 2 interview, but at Time 1 this study had a slightly higher percentage of participants at full Stage 3 (socialised stage). The Time 2 results are consistent with Kegan (1994) and Torbert's (1987) studies, which indicated that across middle class, college educated

professionals, 58% of those studied had a mental complexity which was not as far along as the self-authoring mind (Kegan and Lahey, 2010). The results include the SOI scores of both the participants in the leadership development programme and the Control Group. Table 7.1 outlines the scores from this research compared to the scores using the SOI from other studies as presented by several scholars (i.e. Bugenhagen and Barbuto, 2012; Kegan and Lahey, 2010; Eigel, 1998 and Kegan, 1994).

**Table 7.1 - Comparison of this study with other studies presented in Bugenhagen and Barbuto (2012), Kegan (1994) and Kegan and Lahey (2010)**

Order of Consciousness	Current Study N = 30 Time 1		Current Study N = 30 Time 2		Bugenhagen and Barbuto (2012) Study N = 53		Eigel (1998) Study N = 42		Original Dissertation <sup>7</sup> N = 282		'Full SES' Composite <sup>8</sup> N = 75		'Professional Highly Educated' Composite <sup>9</sup> N = 207		Bar-Yam (1991) Study (a highly educated sample) N = 60	
5	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
4-5	0	0%	2	7%	4	8%	5	12%	17	6%	2	3%	15	7%	6	10%
4	10	33%	9	30%	8	15%	27	64%	97	34%	14	18%	83	40%	25	42%
3-4	4	13%	15	50%	20	38%	7	17%	91	32%	23	31%	68	33%	22	37%
3	16	53%	4	13%	7	13%	2	5%	40	14%	9	12%	31	15%	7	11%
2-3	0	0%	0	0%	13	25%	1	2%	22	8%	17	23%	5	2.5%	0	0%
2	0	0%	0	0%	1	1%	0	0%	15	5%	10	13%	5	2.5%	0	0%

<sup>7</sup> Studies included (1) Goodman (1983), (2) Jacobs (1984), (3) Alvarez (1985), (4) Lahey (1986), (5) Dixon (1986), (6) Allison (1988), (7) Beukema (1990), (8) Sonnenschein (1990), (9) Binner (1991), (10) Osgood (1991), (11) Greenwald (1991), (12) Roy (1993).

<sup>8</sup> Studies included 1, 5, 11 from footnote 7.

<sup>9</sup> All studies from footnote 7 excluding 1, 5, 11.

The range of scores for this study is interesting to note given the timing of the interviews during the financial crisis in Ireland and the uncertainty people were feeling regarding their future with Best Bank. It may indicate that people were feeling overwhelmed with the challenges they faced in their roles at the Time 1 interviews and, as Kegan (1994) suggests, given that the expectations of others is so important to those at the socialised stage (stage 3), this may have caused difficulties when conflicting situations arose, which potentially raised issues with self-esteem. In these situations, individuals may feel torn by the conflict between important others in their lives and, as the title of Kegan's book suggests, feel 'in over their heads' much of the time. For example, several of the participants indicated that they were struggling to adapt to the changing organisation. The higher number of participants at the socialised stage at Time 1 may also be indicative of the organisational culture and leadership style within the organisation at the time, which some participants (e.g. Harry, Ava, Amelia, Archie, Alex, and Sean) suggested had become aggressive and less collegiate. These participants suggested that a more fearful culture had developed during the crisis where people were afraid to make mistakes and that a blame culture had evolved with people working long hours to maintain their jobs. Conor, for example, discussed the culture of presenteeism in the organisation and the demotivating impact that had on him and how he found it hard to push back or challenge this. Sean outlined how, in his view, the Executives were using a 'stick' rather than a 'carrot' to achieve organisational goals and some of the participants (e.g. Ava and Ben) had a view that people had moved into avoidance mode and were 'keeping their heads down' in order to survive the turbulent economic period. The higher number of participants at the socialised stage may also be indicative of early stage leaders who had been promoted within a twelve-month period of the Time 1 interview (e.g. Ella and Daniel).

The current study did not have any participants at a full stage 5 (self-transformational stage) which is consistent with all other studies (e.g. Bugenhagen and Barbuto, 2012; Eigel, 1998; and Bar Yam, 1991). Finally, it had 0% of individuals at stage 2 (instrumental stage) which is similar to findings from other research (e.g. Eigel, 1998; Bar Yam, 1991; Roy 1993; Sonnenschein, 1990; Beukema, 1990; Allison, 1988; Lahey, 1986; Alvarez, 1985). Given the roles held by the participants in this study, it is not surprising that none of the participants were at the instrumental stage (stage 2) of development because, as senior managers in the business, they would be expected to have a capacity for understanding and participating in mutual experiences (e.g. delivering team projects by co-operating for mutual benefit, agreeing performance expectations of each other, or sharing of knowledge and understanding others' perceptions). The next section discusses the development versus lack of development of participants in this study noting changes in developmental levels as measured by Kegan' and Lahey's (1984) SOI.

### 7.3 Participant Development

The first question that this study addressed was whether participants would develop as leaders as a consequence of their participation in a leadership development programme. As outlined earlier, there was development between the Time 1 and Time 2 interviews for 8 out of the 10 participants in LDP 1 and LDP 2. This is consistent with the small but developing body of research showing links between leadership development interventions, adult development and leadership effectiveness (Vincent, Denson and Ward, 2015; Helsing and Howell, 2014; Valcea et al, 2011; Kegan and Lahey, 2009, 2010; Bartone et al, 2007; Rooke and Torbert, 2005).

More specifically, this is consistent with Bartone et al (2007) who examined the relationship between developmental stage and leadership performance among a sample of army cadets. Their findings supported Kegan's constructive developmental theory and suggested that

greater attention be paid to the basic processes of human psychosocial development that can influence leader performance in important ways. In addition, there was also development for 3 out of 10 participants (i.e. Daniel, Matthew and Ryan) from the Control Group. For those in the Control Group, it is logical to state that they had not received the same leadership development assistance as those on the leadership programmes and hence they did not have the same impetus or opportunity for development. Equally, they were also the senior managers in Best Bank who had opted not to volunteer to participate in the programme so they may not have had the same interest in developing their leadership capability. However, each of the three individuals who had developed discussed various triggers of development between Time 1 and Time 2 interviews. For example, Matthew had participated in an external education programme which as confirmed with prior research can advance leadership development (Storey, 2011). Both Daniel and Ryan had been promoted with both noting that their line managers had provided significant support and development opportunities to them in the intervening period. This is consistent with prior research which outlined that a promotion or new experiences may spur developmental change and assist leadership development (Bartone et al, 2007). The next section of this chapter outlines the key triggers of development identified in the study for the participants of LDP 1 and LDP 2.

#### 7.4 Participants in LDP who did not develop

While the focus of this chapter has been on those individuals who developed and how they developed, it is equally valid to ponder why there were some participants who did not develop. Four out of twenty participants across the LDP1 and LPD2 did not develop and seven out of ten participants in the Control Group. The participants in LDP1 who did not develop were both leading from a self-authored perspective, Archie was at 4(3) and Luke was at a full stage 4. It is interesting to note that both Archie and Luke had recently transferred to Best Bank from another sister organisation and both indicated they had found the move to Best Bank difficult. Perhaps to transition to a more self-transforming stage (stage 5) they would have needed a

coach that was one stage ahead of them in their development. Given that it is suggested that only a small percentage of the population, approximately 3% (Kegan and Lahey, 2010) is at stage 5 (self-transforming stage), it is possible that neither their coach nor any other person involved in the leadership development programme could assist them in developing to this self-transforming stage. Manners and Durkin (2000) reviewed studies on intervention programmes designed to develop consciousness in adults and concluded that, in order to be effective, interventions must be structured at least one or two stages above the stage of the individual being targeted. This could be the reason why neither Archie nor Luke developed through the programme. In addition, it is interesting to note that both Archie and Luke had recently transferred to Best Bank from a sister organisation of the Bank. Both had found the move to Best Bank difficult and Archie in particular had found the transfer 'extremely challenging' and had indicated at the Time 2 interview that following participation in the programme he did not think he had developed and even suggesting that perhaps he had regressed since starting the programme.

The other two participants for LDP2 who did not develop were Sophie (stage 3) and Mark (Stage 3/4). Sophie specifically mentioned a lack of management support during her participation on the programme, which for someone at a full stage 3, may have contributed to her lack of development as measured by the Subject Object interview. Mark noted at the Time 2 interview that he believed he may not have developed. He pointed out that over the course of his lifetime he had participated in a lot of counselling and he believed he had learned a lot about himself. His view was that whatever change needed to take place had already happened in prior years. It is also worth noting that the participants who did not develop placed less emphasis on their coaching relationship during Time 2 interviews (i.e. Sophie, Archie, Mark and Luke). While much of the literature supports coaching (Ely et al, 2010; Fillery-Travis and Lane, 2006), some of the concerns regarding coaching relationships in the literature are interesting to note i.e. that the coach and coachee must be well matched in order for it to

succeed, that both parties must be committed to the coaching relationship, and that the coach must be skilled (Sadler-Smith, 2006; Day, 2000).

## 7.5 Key Triggers of Development

The second question in this study asked 'which elements (if any) of the leadership development programme will contribute to a participant's development as measured by Kegan's constructive developmental stages?' At the Time 2 interview, each participant was asked to discuss their views on the leadership development programme, to indicate whether they felt they had developed as a consequence of participating in the programme, and to identify what, if anything, they found particularly beneficial about the programme. Participants were also asked about what they would change about the programme. What is interesting to note about these findings is that a number of the participants mentioned different aspects of the programme that they found beneficial e.g. the internal LDP network (e.g. Ava, James, Noah and Mary in particular), coaching (e.g. Adam, Ben, Ava, and Amelia), management support (e.g. Emily, Emma, James and Conor), leadership knowledge and competencies (e.g. Ben, Harry, Paul and Adam), and increased self-awareness (e.g. Ella, Mark, Paul and Noah). In addition, there appeared to be other general contextual triggers for development identified during the interviews as having an influence on development (e.g. people being 'invested' in their development, identity development and time). The following section of this chapter discusses these various triggers starting with self-awareness/self-regulation.

### 7.5.1 Self-Awareness/Self-Regulation

Self-awareness and self-regulation are sub-constructs of authentic leadership theory and both constructs were identified as important for the development of leaders in Best Bank. A number of LDP participants (e.g. Amelia, Emily, Ben, James, Mary and Paul) discussed the feedback from the Lifestyles Inventory (LSI) as an 'eye opener' that allowed them to reflect on their leadership behaviours, which they were assisted in via coaching support. Participants at both the socialised stage and the self-authoring stage valued the self-awareness created through the leadership development programme and identified it as proving beneficial to their development. For example, Ben, an LDP 1 participant who was at the self-authored stage by Time 2 interview found that the individual assessments provided a level of sobriety on his own views, while Mary who was at the socialised stage at Time 1 and was also a participant on LDP 1, indicated that she had gained positive reinforcement from the feedback and found that this assisted her in knowing that she was moving in the right direction. In contrast, Ella, an LDP 2 participant at the socialised stage, was upset about her LSI profile at Time 1 because she believed she had developed beyond how she had been rated on it (e.g. high defensive/aggressive scores). However, she noted at Time 2 that it provided greater self-awareness, which she used in a positive way to develop and believed she was continuing to develop despite the programme having ended several months earlier. Matthew from the Control Group who had developed between Time 1 and Time 2 also noted that feedback on his external education programme enhanced his self-awareness and made him more aware of his strengths and weaknesses. He stated that he had become less defensive when challenged in work by either people reporting to him or by those more senior to him and, as a consequence of this awareness, he felt more at ease when dealing with conflict. This is consistent with several scholars (e.g. Cianci et al, 2014; Diddams and Chang, 2012; Gardner et al, 2011; Avolio et al, 2009; Kernis 2003; May et al, 2003) who note that because authentic leaders have a deep knowledge of their strengths and weaknesses, this creates a non-defensiveness with followers that allows them to be consistent and transparent in situations.

As described in the findings, several of the participants (e.g. Ava, James, Amelia, Mary and Paul) gave examples of self-regulation during their interviews. This suggests that as a consequence of participation in the leadership programme, they considered how their emotions were influencing their decision making, how they could reflect on a situation and assess whether further information was required, and how they could see alternative ways of analysing a situation and alter their leadership behaviours as a result. For example, Amelia discussed how she had improved her work-life balance since participation in the programme but that she had to stop herself from working overtime and keep reminding herself that she needed to prioritise herself and not work. This is consistent with Day and Sin (2011) and Dragoni (2009) who outline that self-regulation processes in the form of goal orientation support leader development in terms of contributing motivational resources and persistence both in and across development experiences.

### 7.5.2 Internal Networks

Networks and the relationships that emerge via networks have been identified as important in enhancing a leader's social capital and enabling a leader to behave in a manner consistent with the ideals and values of an organisation (Treadway et al, 2012). The participants (e.g. Ava, James, Noah and Mary in particular) at stage 3 (i.e. the socialised stage) placed value on the internal network they had established within the leadership development programme and used this as a learning environment within which they could comfortably test their learning before applying it back 'on the job'. They also found it beneficial to share their frustrations and insights on issues and found security in others having similar challenges and concerns across the organisation. The views of participants at stage 3 suggest that they had established more robust relationships with those more senior to them in the organisation and they were more confident in themselves when challenged on issues at the Time 2 interview. For example, James spoke about how he was now better able to deal with the executives in Best Bank because he realised he was not the only one dealing with particular situations or lacking

confidence in his ability when challenged by the Executive in his area. Ava also specifically discussed testing out situations in the LDP network and then deploying them elsewhere once she was satisfied with that approach. Likewise, Noah found that the group was very open, involved and interactive, which he benefited greatly from.

According to Day (2000) networking is beneficial to personal and professional development because it fosters peer relationships in work settings, which is consistent with the findings of this study. Mary commented on the contacts that she had developed in other areas of the business which had benefited her in her role as she could now better relate to these other parts of the organisation. This is consistent with various research on networking (Treadway et al, 2012; Galli and Muller-Stewens, 2012; Bartol and Zhang, 2007; Balkundi and Kilduff, 2005; Day, 2000, Burt, 1992). Burt (1992) suggests that managers who build the kinds of networks that allow them to transcend the organisation's formal structure are most likely to benefit in terms of enhanced social capital in the organisation. In a similar vein, Balkundi and Kilduff (2005) note that leaders often interact with individuals in other parts of an organisation or in other organisations as a means of 'affecting the flow of important information and resources, and, thereby, organizational survival' (p. 436). This resonates with this study given the financial crisis and the concern for survival of the business at an organisational level, and the concern for job security at an individual level.

As outlined above, several of the participants in the study attributed the positive impact of being in the LDP network with the attainment of better outcomes at work (e.g. Amelia discussed using the network to solve an issue she had in her business area and James discussed how others in the network supported him when introducing a new process across business units). This finding is congruent with the literature on networking (e.g. Galli and Muller-Stewens, 2012; Bartol and Zhang, 2007), which suggests that networks can aid the leadership development process through facilitating the better handling of challenges and the acquisition of capabilities, particularly in the interpersonal/ relational realm. Similarly, Treadway et al (2012) state that social networks form the basis of relational leadership

approaches in which leaders are recognised as being embedded in a social structure, which affects their ability to act, control followers and attain outcomes. Amelia, for example, identified how she now had an internal network that she trusted. She discussed how both the full group of participants in her programme as well as the smaller learning sets that had been established were supporting each other between workshops. Amelia discussed how she had developed trusting relationships with several of those in her learning set and that she was confident if she discussed an issue or concern be it personal or work related that it would not be discussed outside of the learning set. In addition, several participants (e.g. Ava, James, Ella and Amelia) noted that the discussions that took place with their 'buddy' provided them with an opportunity to be open and expose weaknesses that they would previously have been afraid to expose or discuss with others in the organisation. Several of the participants (e.g. Dylan, Ella, Jack and Ava) also noted that being part of the LDP network assisted them in acting and behaving more confidently in a leadership role with their teams. Ella, for example, specifically noted that upon promotion to senior manager she felt part of 'the club' and that this was enhanced even further with the new internal network she had developed because of her participation in the leadership development programme. Finally, several of the participants at the socialised stage (e.g. Mark, James, Ella and Amelia) found that the social aspects of the programme was of significant benefit to them and Mark, in particular, said he learned more from the participants than those facilitating the workshops. Therefore, it is probable that development occurred as much between the peer-peer relationships of participants and the confidential, open support that participants experienced between the workshops versus when they were in the classroom. This is consistent with Ghosh, Hayes and Kram (2013) who describe developmental networks as a reliable environment where leaders can feel safe to examine and interact, even when they are anxious or temporarily need a secure base to which they can retreat. In addition to the internal LDP network, another key trigger identified was coaching which will be discussed next.

### 7.5.3 Coaching

Coaching has been advocated as supporting and facilitating improvement in skills development and personal development and growth. The literature indicates that leadership coaching has become widely used in organisations and it was utilised during Best Bank's LDP 1 and LDP 2. The findings suggest that those at a socialised stage (stage 3) of development used the one-to-one coaching as a tool that enabled them to build their confidence in self-expression and to constructively challenge others when appropriate. Several of the participants at the Time 2 interview outlined an increased feeling of well-being as a consequence of better work-life balance, feeling more capable of dealing with on-the-job issues, finding themselves more resilient when faced with stressful situations, being better able to challenge others in a constructive manner, and being more comfortable in their leadership role within the organisation as a consequence of their coaching relationship. Amelia spoke of the influence her coach had on her development and how it made her think in a different way, which she believed was a very strong contributing factor to her development. Likewise, Ava viewed the coaching as providing her with an opportunity to reflect, to challenge herself and to face issues that she would have not wanted to face otherwise. Ava also believed that she found solutions to these issues via the coaching process as she believed the coach facilitated her in finding the answers for herself and that the coach was keen not to provide answers or coach in a directive manner. Several of the participants at stage 3 also discussed how they thought about a topic or challenge they had discussed with their coach quite a while after the discussion had taken place. Amelia highlighted that even after the coaching sessions had concluded she would still think about and act upon the goals she had set with her coach. Similarly, James noted that conversations with his coach after the formal coaching had finished, assisted him when participating in group meetings. This is consistent with McCauley et al (2006) who point out that actual development may take place long after concluding a developmental activity such as coaching takes place.

While those at stage 4 (self-authoring stage) also found the coaching to be beneficial, they did not use it as a way of improving self-expression or constructively challenging others in the organisation, as this was not an area of concern during this stage of their development. The stage 4 participants' experience of coaching seemed to focus more on giving them an opportunity to focus and reflect on their goals and values and to reflect on how their behaviour was consistent with their values. As an example, Ben stated that he used the coaching sessions to reflect on whether he was living by his values when he found himself dealing with complex strategic issues in the organisation, which required him to set the direction of his business area despite conflicting views from others in the organisation. Adam also discussed the opportunity for reflection that the coaching provided, which allowed him to refocus on what was important to him in the long-term. Much of this reflection occurred outside of the formal one to one coaching sessions that had been facilitated through the LDP programme and both Ben and Adam noted that the conversations with their coaches provided them with an opportunity to consider whether they were living and behaving consistently by their values on an ongoing basis and not just while attending a one to one coaching session or at a facilitated workshop. This could be reflective of the internalised moral perspective construct from authentic leadership theory which, as outlined in chapter three, is about self-regulation being guided by internal morals and values. Ben and Adam's behaviour is consistent with Vancouver and Day's (2005) definition of self-regulation as they using processes to attain or maintain goals that are internally generated.

The findings are also consistent with the broader literature on reflection (Joiner and Josephs, 2007; Rooke and Torbert, 2005; Moon, 1999; Mezirow, 1990; Schon, 1983). As outlined in the earlier review of the literature, Ladegard and Gjerde (2014) suggest that in order to accelerate leadership development, organisations should focus on the 'interior processes and less on exterior and observable competencies as the primary outcomes of leadership development programmes' (p. 14). They argue that leader role efficacy is an internal process and therefore organisations wanting to develop their leaders can offer

leadership coaching as a development initiative. Again, it appeared that for those at the socialised stage of development, the coaching relationship was beneficial in improving self-expression, which could be representative of the relational transparency construct of authentic leadership development.

The findings also suggest that high quality, trust relationships where coachees are both supported and challenged to become more self-aware and learn new ways of thinking and behaving will in turn lead to professional growth and development. This is also consistent with research which suggests that good working relationships constitute an essential condition for successful executive coaching (Lowman, 2005; Kampa and White, 2002; Kilburg, 2001), which consequently assists the individual in succeeding at work (Joo, 2005). It was evident from the Time 2 interviews that those who developed on the LDP 1 and LDP 2 programmes placed value on the relationship with their coach (e.g. Amelia, James, Ben, Ava, Mary, Paul and Ella). In addition to coaching, several of the participants identified management support as key to their development and this will be discussed next.

#### 7.5.4 Management Support

Eisenberger et al (2014) state that perceived supervisor support is the degree to which employees' immediate supervisors are perceived to value their contributions and care about their well-being. A number of participants at the socialised stage of development (e.g. James, Dylan, Mary, Conor and Emily) discussed the importance of having the support of their line manager and how this assisted with their development during the leadership development programme. Only those at the socialised stage placed this emphasis on line management support and appeared to need it to support their development. This corresponds with the literature on supervisor support. For example, several scholars (Seibert et al, 2016; Dragoni et al, 2014; Eisenberger et al, 2014; McCauley et al, 2010) have argued that one's immediate supervisor is one of the most important sources of development available within an organisation. This was clearly the case for James when he explained how his line manager

would pass him post-it notes during meetings to encourage him to participate and express his views. Dylan discussed how his line manager provided him with greater opportunities to express his views by agreeing in advance Dylan's contribution at meetings so that he had the chance to express his opinions. These findings again suggest that this increase in self-expression may be consistent with the sub-construct of relational transparency as defined by Avolio et al (2008) and, for those at the socialised stage of development, it seemed that management support was a key trigger towards having a self-authored perspective (stage 4) emerging by the end of the programme.

Other literature on manager support has found that manager support must be taken into account throughout the design, development, implementation and evaluation phases of training programmes (e.g. Buch et al, 2015; Jooste, 2014; Lancaster, De Milia and Cameron, 2013; Blume et al, 2010). Buch et al (2015) found that perceptions of manager support were of vital importance in settings where developmental challenges are prevalent. Jooste (2014), in a study of nurses participating in a leadership development programme, identified that one of the key challenges faced by participants was the lack of management support, which resulted in demotivation, frustration and lack of focus. Sophie, one of the LDP2 participants who did not develop, indicated that she was not supported by her line manager while on the programme (despite the manager approving her participation on the programme). Perhaps this had an influence on her lack of development while on the programme and could potentially align with Jooste's (2014) outputs on motivation and focus. While management support was a key trigger for development at the socialised stage, it did not feature as a trigger of development for those at the self-authored stage of development who were more inclined to focus on leadership knowledge and competencies.

#### 7.5.5 Leadership Knowledge and Competencies

Leadership competencies are used extensively in organisations and can be used to express what is valued by the organisation and to define leadership skills (Gentry and Sparks, 2012).

The benefits of leadership competency models to the individual and to the organisation have been documented in the literature (e.g. DeRue and Myers, 2014; Van Velsor and McCauley, 2004), however, there are also many critics of competency frameworks (e.g. Collins et al, 2015; Seligman, 2011). As outlined earlier the LDP aimed to develop specific competencies such as managing change; thinking and operating strategically; innovating and continuously improving; managing people including coaching and delegating; and networking. Evidence of a range of competencies - particularly in relation to self-awareness and relationship management (e.g. self-confidence, the ability to influence others and to act as a catalyst for change in Best Bank) - were demonstrated by those at the self-authored stage of development (e.g. Ben, Paul and Harry) during the Time 2 interviews. As noted in chapter two, McKee et al (2008) have demarcated the emotional and social intelligent competencies in leading change into (1) social awareness, (2) self-awareness, (3) relationship management and (4) self-management. The findings from the interviews in this study suggests that for participants of LDP 1 and LDP2, self-awareness and relationship management were important to them. DeVries (2013) highlighted that personal competencies such as self-confidence and personal effectiveness were also necessary for effective leadership and many of the participants at the socialised stage (e.g. Ava, James, Amelia, Noah and Conor) noted that their self-confidence had developed as a consequence of participation in the LDP.

Several of the participants at the self-authored stage (e.g. Ben, Harry and Paul) also outlined how participating in the LDP had facilitated them focusing on their values and using these to determine action and behaviour. Ben stated that the programme had prompted him to evaluate whether he was living by his values. Ben also outlined how the programme had benefited him when setting strategic goals and Paul too outlined similar benefits of the programme in terms of strategic goal setting and managing change. From the findings, the development of the networking competency is evident at the socialised stage, however, evidence of the development of other competencies is not so clear, for example, managing

change, thinking and operating strategically and innovating and continuously improving were not competencies that those at the socialised stage discussed.

These findings indicate that perhaps in order to develop the range of competencies set out by Best Bank, Alban-Metcalfe and Alimo-Metcalfe's (2013) advice that competencies need to be thoroughly researched, properly constructed and differentiated to meet the particular needs of specific organisational groups, should be heeded. The findings would also indicate that competency frameworks need to be better linked to constructive developmental levels and/or different competencies outlined for each developmental level.

#### 7.5.6 Invested in Development

The participants in both leadership development programmes had applied to participate in the programmes based on an open invitation issued to all senior managers in Best Bank. Therefore, it is reasonable to assume that each participant was invested in their own learning and development at the time of their application and believed they would develop in some way from the programme (see LDP application form in appendix C). In addition, each participant's line manager had to support and approve their application before submission to the Human Resources department. During the Time 1 interviews, a number of the participants at the socialised stage were voicing frustrations they had regarding how they were behaving and performing at work. A number of participants also had views on what they hoped the programme would assist them with. For example, Amelia wanted to improve her work/life balance and planned to do this by learning to delegate more effectively and enrolling in extracurricular activities after work that she believed would make her leave work at a more reasonable time. Dylan and Ava wanted to improve their interactions with others in group situations and learn to feel comfortable in voicing their opinions. In addition, each of the participants rated their 'interest in improving themselves' at the outset of the programme (on a scale of 1-7) via the LSI feedback survey. With the exclusion of Jack, each participant rated themselves a 5 or above for this statement, therefore indicating their interest in development.

Chappelow (2004) and Ting and Hart (2004) suggest that for leadership development to occur, the willingness of individuals to not only engage in learning is necessary, but that such initiatives must be sought by learners. It is evident from the SOI results that participants did indeed develop.

This interest in learning and development had implications for identity development for participants in the study and identity development will be discussed next.

### 7.5.7 Identity Development

Identity is important to individuals as it grounds individuals in understanding who they are, what their major strengths and weaknesses are and what their major goals and aspirations are (Day, Harrison and Halpin, 2009). Leary and Tangney (2003) state the way that we perceive ourselves, our self-concept or identity has profound effects on the way we feel, think, and behave, and for the things we aim to achieve. Participants at stage 3 in this study seemed to have developed a clearer sense of identity arising from participation in LDP1 and LDP2, which was not as easily identifiable among the Control Group participants. Dylan discussed how he had become more confident in voicing his views and making sure they were heard and he attributed this to the programme. As Day et al (2009) suggest, a well-defined leadership identity helps shape clear goals and values, which guide behaviour, aid in decision making, and help establish trust. Identity development was also evident in Harry and Ella, however they focused on the transition away from their previous identity. For example, for Harry this resulted in being conflicted over the loss of his 'niceness'. For Ella, it was the sense of conflict she felt as she recognised that she lacked confidence in herself, had a tendency to over-analyse issues and that she internalised other people's reactions so that they became an issue for her.

Several participants at the self-authored stage (e.g. Paul, Harry and Ben) stated that the feedback tool utilised during the programme confirmed their view of themselves. For those at the socialised stage, this was not the case (e.g. Ella, Jack and Mary) were disappointed

and surprised by the feedback they received. The level of self-awareness at the self-authoring stage could be indicative of a stronger authentic leadership orientation. Those at the socialised stage of development did not demonstrate this level of self-awareness. Identity scholars (Day and Sin, 2011; Ibarra et al, 2010 and Lord and Hall, 2005) suggest that incorporating the leadership role into the sense of self motivates individuals to seek out leadership opportunities. As noted in the literature review, Day and Sin (2011) state that a leader identity is important to facilitate the development process of leaders as it contributes to a spiralling effect. They outline that a strong leader identity motivates a leader to act in a more leader-like way so that leaders in turn seek out opportunities to practice leadership and thus enhance development. This is also consistent with Bandura's (1997) construct of self-efficacy which was outlined in chapter four and reflects on a person's confidence about their ability to use the necessary resources to successfully carry out tasks.

#### 7.5.8 Time

One other observation from the study was the influence of time on the participants' development, and while not a finding in its own right, it is worthy of discussion. Day et al (2014) suggest that the nature of studying leadership development 'involves mapping and understanding within- and between-person change patterns...over time' (p.65) and that leadership and time should be inherently intertwined in theory and research. In the case of this study, the leadership development programme occurred over a ten-month period with executive coaching available to participants during that period of time. As outlined in the research methods chapter, this study was quasi-longitudinal with Subject Object Interviews conducted prior to the programme commencing and again within 3 months of completion of the LDP. It is difficult to confirm what the appropriate timeframe for conducting Time 2 interviews should have been and whether more time would have provided evidence of further development or not. The results between SOI's indicated that development had occurred for some participants and it appears that for assessment via SOI, a 10 month period is appropriate

to facilitate development. One of the participants in the leadership development programme that mentioned time was Emily, she stated that she believed her development took place as a consequence of the time period that lapsed while she availed of one-to-one coaching. Conor was another participant that mentioned time but more so the timeliness of the programme for him in that it took place when he had moved to a new department and therefore he found that the programme was of particular benefit to him because of the timing.

Shamir (2011) argues that much of the dominant leadership theories which propose that certain leadership inputs produce certain leadership outputs do not take into account time as a variable for analysis. This, he claims, does not make sense as the majority of leadership change takes place over time and Day (2014) therefore argues that cross sectional leadership studies do not makes sense and calls for longitudinal studies that consider time as a variable. Time as a requirement for leadership development is consistent with Day et al (2014) and Shamir (2011) and is a contribution this study lends to the leadership development literature. Based on this one could question the value of short-term courses on leadership over 3 or five days such as those extensively offered in the marketplace.

## 7.6 Authentic Leadership Development

The third question this study sought to answer was whether a more advanced constructive developmental level provided evidence of the development of authentic leadership. Much of the discussion of the findings around authentic leadership has been dealt with in earlier sections and so will not be repeated again here. However, the findings from the study suggest that at certain stages of development, particular sub-constructs of authentic leadership can be developed once some self-authoring perspective is emerging in a leader's order of consciousness. Table 7.2 outlines the sub-constructs of authentic leadership, the key features of each construct, and whether there was evidence of construct development in this study and at what stage of constructive development this was apparent.

**Table 7.2 - Authentic Leadership Development**

AL Construct	Key Features	Evidence of Development	Stage of Development
Self-Awareness	Aware of strengths and weaknesses and impact on others. Understands how one makes meaning of the world.	Yes	Socialised and Self-Authoring Stage
Relational Transparency	Presenting one's authentic self, sharing information and own thoughts and feelings.	Yes	Socialised Stage
Balanced Processing of Information	Analyse data and solicit challenge on views before coming to decisions.	Limited	Socialised stage
Internalised Moral Perspective	Self-regulation guided by internal morals and values.	Yes	Self-Authoring stage

Table 7.2 highlights that at the socialised stage of development, self-awareness and relational transparency were primarily developed as evidenced by Amelia, Emily, Ben, James and Mary. For those at the self-authored stage, an internalised moral perspective was developed as evidenced by Ben, Paul and Harry. The next section describes how the sub-constructs of authentic leadership were developed for participants of the LDP.

- ***Self-Awareness Development***

This study suggests that self-awareness is a key trigger or process that is required for authentic leadership development. The participants' view that self-awareness was important to their development is consistent with the findings of Hannah and Avolio (2009) who contend that self-awareness (i.e. higher levels of clarity around self-beliefs and consistency in these beliefs) will enhance a leader's ability to make meaning of developmental experiences. As outlined earlier in the chapter the LSI feedback tool and subsequent one-to-one coaching sessions were viewed as important in raising self-awareness. Self-awareness includes being aware of one's strengths and weaknesses, as well as understanding emotions and personality. This is not an end in itself but is a process that allows one to reflect on oneself (Gardner et al, 2005; Ilies et al 2005). Participants (e.g. Ava, Amelia, James, Paul and Adam) at both the

socialised stage and self-authoring stage found that self-awareness was a factor in their development. This is consistent with a study of military cadets (Hannah and Avolio, 2009) which found that increased self-awareness significantly enhanced development in transformational leadership, authentic leadership, and leadership efficacy over six months and also predicted subsequent leader performance.

- ***Relational Transparency Development***

Relational transparency is related to self-awareness and is about presenting one's authentic self (as opposed to a fake or distorted self) to others. This study's findings suggest that the sub-construct of relational transparency was developing for those at the socialised stage as a consequence of participation in the leadership development programme. As noted earlier the participants at the socialised stage (e.g. Jack, Ella, James, Amelia and Ava), by the Time 2 interviews were more comfortable in voicing their opinions on issues and were more inclined to present their authentic self when in meetings. Cianci et al (2014) state that authentic leaders ensure their actions are in line with their values and that they 'walk their talk'. This, they state, increases the clarity with which expected behaviours and standards are communicated to followers. Evidence of 'walking the talk' was emerging at the Time 2 interviews and participants discussed how their interpersonal communication with direct reports and with senior executives had improved and they were more confident in resolving conflict when it arose.

- ***Balanced Processing of Information***

Balanced processing is the ability to objectively analyse data and solicit challenge on views before making a decision. Several scholars (e.g. Caza and Jackson, 2011; Neider and Schriesheim, 2011; Avolio et al, 2008) note that authentic leaders solicit views that challenge their deeply held positions, they recognise their own limits and take others' views into account. Evidence of this construct developing as a consequence of the leadership development programme was more limited. However, Amelia, for example, outlined how she listened more to others concerns and that she did not react in the same way to conflict situations that arose.

Caza and Gill (2015) maintain that authentic leaders pay attention to both the positive and negative interpretations about themselves and their leadership styles. For participants at the socialised stage of development (e.g. Amelia, James and Ava) there was evidence that they paid attention to the feedback from the LSI and used the feedback to develop. They believed they were more honest about who they were and were comfortable in speaking up and following through on what they believed in. Banks et al (2016) note that individual and group performance is enhanced in part because individuals who are authentic are able to use balanced processing of information to illustrate consistency between their words and deeds.

- ***Internalised Moral Perspective Development***

The first workshop of the LDP had the theme of 'Effective leaders have an effective mind set'. The thrust of the workshop was that authentic leader must first know, understand, and be able to lead him / herself before they can lead others. George and Sims (2007) note that when faced with adversity and pressures to act unethically, authentic leaders will be able to orient their own internal moral standards and values to drive appropriate behaviour. Several of the participants during the interview process (e.g. Paul, Adam, Thomas and Ben) discussed their values and appeared to be clear about their goals at work. Each of these participants was at the self-authoring stage at the Time 1 interview. Paul discussed how he stayed true to his values and how these guided his thinking and behaviour at work. Ben also discussed his values and how they had influenced his interactions at work and helped to guide him in determining how he should respond to challenging issues. A number of those within the Control Group at the self-authored (stage 4) (e.g. John, Thomas and Matthew) also discussed being true to themselves and sticking with their values during difficult periods of their working lives and that their values drove their behaviour and action.

### 7.6.1 Research Linking Authentic Leadership to CDT

There is limited research linking authentic leadership to CDT. One study relevant to this research is Kuhnert and Eigel's 2005 study. Kuhnert and Eigel (2005) reviewed the Leadership Development Level (LDL) of 21 executives (i.e. the developmental levels that shape mental and moral capacities) and found that the highest LDL's were associated with authentic leadership. Authentic leadership most closely resembles stage 4 (self-authoring) or stage 5 (self-transforming) of Kegan's framework of development (Kuhnert and Eigel, 2005). Kuhnert and Eigel (2005) state that it is only when leaders achieve a stage 4 (self-authoring) perspective that they begin to lead authentically. Harris and Kuhnert (2008) note that leaders at stage 4 are more independent, are less reliant on external sources to make effective decisions. Helsing and Howell (2014, p.4) state that self-authoring individuals 'are not beholden to others for their sense of self and identity...and can tolerate and even invite criticism because the discovery of difference is not fundamentally threatening.' This study suggests that authentic leadership is emerging when the self-authoring stage of development is emerging.

### 7.7 Implications of the Research for Practice

The analysis of the Subject Object interviews in this study demonstrated that those at stage 3 (socialised stage) were more heavily reliant on others to support their development. Those at stage 3 wanted other people and leaders in the organisation to respect them and to appreciate their contribution. While this may be expected given the importance of relationships at stage 3, the researcher had not previously considered the strong impact that access to a new internal network, coaching or management support would have on participants in a leadership development programme. Given that time was a constant (i.e. the gap between interventions was the same) and given that each participant in the LDP was invested in their learning and development, then the key processes that impacted on development for those at the socialised stage were: (1) the new internal network that they had established internally in the organisation

that allowed them to share ideas, issues and frustrations; (2) having their line manager's support as they participated in the programme to assist them in speaking up at meetings and in being more confident in their interactions with others; and (3) coaching as a mechanism that was used to build confidence and challenge their thinking on their relationships with others. While these might be considered contextual supports they were highlighted by those at stage 3 as having an impact on their development.

As a consequence, from a practical perspective, organisations should give consideration to how they engage and encourage managers to support team members who are participating in a leadership development programme. Given that leadership development represents a significant investment by organisations, assessing the developmental level of managers could be particularly beneficial in order to assist in the development of participants. Likewise, assessing the developmental level of coaches is an important consideration in matching participants with a coach who is at a higher developmental level than the coachee. From a practical perspective, those at the self-authoring stage likewise need coaches who are at a higher developmental level. However, given the small percentage of the population who are considered to be at stage 5 (<1%), this could be difficult to facilitate (Kegan and Lahey, 2009). Nonetheless, the selection of coaches by organisations, could include criteria such as their awareness of Constructive Developmental Theory and their ability to incorporate this into their coaching model. This is consistent with calls for executive coaches to incorporate Kegan's framework of individual development into their practice (Clutterbuck and Bachkirova, 2010; Kegan and Lahey, 2009; McCauley et al, 2006; Drath and Van Velsor; 2006; Berger and Fitzgerald, 2002; Laske, 1999).

It is evident from the findings and the discussion thus far that self-awareness was a key factor in the development of participants. Assuming that this will be the case for participants in any leadership development programme, then the selection of an appropriate feedback tool will be of critical importance to the participants. In addition, organisations should consider how they will measure constructive developmental stages before participation in any

leadership development programme. While this study used the SOI, it is a time consuming method of measurement and its limitations will be discussed in the next chapter. Organisations may also need to review their leadership competency frameworks to take account of CDT and to reflect the leadership theory they wish to develop. Additionally, the network of participants should be encouraged to become a developmental network supporting each other's development and ensuring that the network is a safe holding environment for testing and experimentation during and after the programme. Finally, allowing sufficient time for development is another practical consideration that organisations will need to contemplate. While these practical implications should be considered by organisations, this study also provides a framework for development – the NO LIMITS framework - which will be discussed in the next section.

## 7.8 The NO LIMITS Framework

The findings from this study indicated that leadership development programmes which included a range of development tools (e.g. a learning network, one-to-one coaching, a self-awareness tool in the form of the LSI, positive management support, leadership knowledge and competencies and time) provided the opportunity for leadership development as measured by the SOI. Table 7.3 below highlights some of the key elements that those operating from stage 3 and stage 4 suggested were beneficial in assisting them with their development. It highlights that 'one size does not fit all' and that leadership development interventions should be tailored to suit the developmental stage of participants. These findings highlight that, at the outset of any leadership development programme, emphasis should be placed on certain leadership interventions depending on the developmental stage of a participant. This leadership framework (NO LIMITS), developed as a result of the findings of this study, has the advantage of not setting limitations in the approach to leadership development. Instead, it proposes that targeted investment is best deployed so that the processes used will have optimum impact on developing individual participants. The

interventions utilised are appropriate and tailored to a participant's current stage of development and identify the critical requirements needed in order for development to occur depending on developmental stage.

The NO LIMITS framework outlined in Table 7.3 represents one approach that can be deployed to more quickly and effectively develop leaders. This framework is consistent with Day et al's (2014) view that people start at different places in their developmental journeys.

**Table 7.3 - NO LIMITS Leadership Framework**

Leadership Intervention	Stage at which Best Deployed/Required	Potential Outcomes
Network	Socialised Stage	Greater confidence in self-expression and relational transparency i.e. in leadership relationships with senior executives.
Coaching	Socialised and Self-Authoring Stage	Self-expression and greater clarity on personal values which drive behaviour.
Leadership Knowledge and Competencies	Self-Authoring Stage	Leading change. Integration of meaning and values in determining action and behaviour.
Identity Development	Socialised Stage	Clarity of thinking and decision making and constructively challenging others.
Management Support	Socialised Stage	Increased self-confidence and improved self-expression.
Invested in Developing	Socialised and Self-Authoring Stage	Increased engagement in learning, increased self-confidence.
Time	Socialised and Self-Authoring Stage	Adult Development (as measured by SOI) and authentic leadership development as defined by Avolio et al (2008).
Self-Awareness	Socialised and Self-Authoring Stage	Understanding of strengths and weaknesses and impact on others and how one makes meaning of experiences.

Bennis and Thomas (2002) suggest that leadership development is best understood as a combination of time, place, disposition and potential. Their research indicated that effective leaders find meaning and learn from the most negative of experiences. They suggested that as a result leaders emerge from adversity stronger and more confident in themselves and their overall purpose. They described these experiences as crucibles 'which are transformative experiences through which an individual comes to a new or altered sense of identity'. There are similarities in the ideas behind Bennis and Thomas's crucibles of leadership and that of the NO LIMITS Framework in that the participants are challenged to come up with an altered sense of identity. However, the NO LIMITS framework posits that understanding the current developmental level of a leader will facilitate more targeted and relevant leadership development interventions to provide this challenge and altered sense of identity. As noted in chapter four, Harris and Kuhnert (2008) observe that horizontal development is concerned with content and what we know, while vertical development is concerned with how we know it. Cook-Greuter (2004) states that subjective development or vertical growth entails a complete transformation in the individual's meaning-making and in their overall view of reality that in turn transforms what they think, how they feel and what they do. This means that people see the world through new eyes and their consciousness changes. For those that developed on the LDP1 and LDP2, there appeared to be a process of transformation and for the Control Group, a smaller number also experienced this transformation.

## 7.9 Summary of Contributions to the Research

Table 7.4 outlines how this study has made a number of important contributions to the literature on leadership development. Specifically, it outlines the ways in which this thesis supports previous research, develops or contributes to previous research and makes an original or new contribution to research (Farndale, 2004).

The study makes three broad contributions. First, from a theoretical standpoint, the study answers calls from a number of scholars to connect the leadership development literature to the adult development literature (Dinh et al, 2014; Petriglieri et al, 2011; Avolio, 2010 and 2008; Day, Harrison and Halpin, 2009; McCauley et al, 2006; London and Maurer, 2004; Mumford and Manley, 2003). McCauley et al (2006) state that constructive developmental theory 'has the potential to act as an integrative framework in the field of leadership and leadership development...because it deals with...the generation and development of meaning for individuals and social systems' (p. 650). The findings in this study support the theoretical propositions concerning the types of changes participants experienced which is consistent with the small but developing body of research showing links between leadership development interventions, CDT and leadership development. The findings support new theorising around the factors that might support leadership development in general and specifically around the factors that might support development at different developmental stages thus contributing to leadership programme design.

This study also contributes to theory by integrating authentic leadership theory, constructive developmental theory and leadership development. It is noted that authentic leadership theory while still in the early stages of development requires more empirical research. The authentic leadership literature calls for research advancing how authentic leadership development might occur (e.g. Day et al, 2014; Gardner et al, 2011; Avolio et al, 2009) and this study identifies how the sub-constructs of authentic leadership can be developed. The study corresponds most closely to Kuhnert and Eigel's (2005) study on authentic leadership development and Leadership Development Level (LDL). They indicated that authentic leadership most closely resembles the higher levels of LDL which corresponds to the self-authoring stage or self-transforming stage of Kegan's (1980) CDT. This study's findings suggest that the sub-constructs of self-awareness and relational transparency were developing for those at the socialised stage and the internalised moral perspective sub-

construct was developing for those at the self-authoring stage as a consequence of participation in the leadership development programme.

Secondly, from an empirical perspective, the study answers Day, Harrison and Halpin's (2009, p. 262) call for longitudinal research that 'focuses on development as the criterion of interest rather than leader performance'. As noted earlier, organisations continue to invest heavily in leadership development programmes (O'Leonard, 2014), however, several scholars have noted the lack of empirical evidence supporting leadership development initiatives (e.g. Seidle et al, 2016; DeRue et al, 2011). DeRue et al (2011) highlight the poor quality of the studies that have been published and note that absence of longitudinal studies to analyse the learning process and to understand developmental trajectories. Therefore, this study contributes to research by measuring the development of 20 leaders participating in a leadership development programme in the financial services sector over time.

According to Day Harrison and Halpin (2009) organisations should evaluate leadership development initiatives using validated measures before and after leadership interventions and not only at the end of a programme. This study has used a validated measure of development i.e. the SOI at the start and end of LDP 1 and LDP 2. Vincent et al (2015) and McCauley et al (2006) note that there is an absence of research into how movement to higher constructive developmental levels might be facilitated through training, developmental programs or coaching. Overall, this study contributes to research by identifying the triggers for development and the developmental trajectories that leaders may experience through participation in a leadership development programme specifically linking adult development theory to authentic leadership theory.

Finally, the research makes an important contribution to practice. Questions have been raised on the effectiveness of leadership development interventions and while studies suggest that leadership can be developed, results are mixed (Skylar Powell and Yalcin, 2010). This study confirms the value of investing in leadership development programmes by outlining how an investment in leadership development at an individual level can advance mental complexity

among participants. The study also confirms the possibility of using the SOI as a method for assessing development which is consistent with Howell and Helsing (2014). From a practical perspective the study highlights the importance of understanding the developmental level of participants at the outset of a leadership development programme. Understanding the developmental level of participants before participation in a leadership programme may allow organisations to apply appropriate triggers for development thus benefitting more fully from any investment in leadership development. Research indicates that leadership processes such as 360 degree feedback, coaching and networks have proven beneficial in developing both human and social capital in leaders (Day et al, 2014; Galli and Muller-Stewens, 2012).

The use of leadership competency models has been critiqued in the literature (e.g. Collins et al, 2015) and Petrie (2014) suggests that the focus organisations have placed on competency models (Day et al, 2014; Riggio, 2008) may not be sufficient to develop leaders in the future. The findings of this study suggest that if organisations continue to use leadership development competencies models, then paying attention to Alban-Metcalfe and Alimo-Metcalfe's (2013) advice that competencies need to be thoroughly researched, properly constructed and differentiated to meet the particular needs of specific organisational groups could prove beneficial. This finding could also indicate that competency frameworks need to be better linked to constructive developmental level and/or different competencies outlined for each developmental level. Finally, the study outlines a leadership development framework – NO LIMITS - to promote leadership development based on developmental stage at the outset of any intervention and this is a contribution to practice.

**Table 7.4 - Contributions of the Current Research (adapted from Farndale, 2004)**

	Supported/Not Supported	Developed	New
<b>Theory (state theory) (theoretical knowledge)</b>	<p>Kegan's (1980) Constructive Developmental Theory (CDT) is supported.</p> <p>Findings support the theoretical propositions concerning types of changes in participants which is consistent with the small but developing body of research showing links between leadership development interventions, adult development and leadership effectiveness.</p> <p>Support for the view that leadership development theory and adult development theory should be linked.</p>	<p>Explanation of how people experience leadership development and what they believe is important in promoting this development.</p> <p>Integration of authentic leadership theory, Constructive Developmental Theory and leadership development processes.</p>	<p>New theorising around the factors that might support leadership development in general and specifically around the factors that might support development at different developmental stages thus contributing to leadership programme design.</p> <p>New theorising about how the SOI can be used to best set the conditions to successfully accelerate development before placing leaders on leadership development programmes.</p>
<b>Empirical evidence</b>	<p>Empirical evidence supports authentic leadership development.</p> <p>Gathered evidence showing the importance of qualitative data in explaining leadership development consistent with Howell and Helsing (2014) assertion that the SOI provides</p>	<p>CDT was an appropriate lens to assess leadership development.</p>	<p>New empirical evidence demonstrating the use of CDT over time for leadership development.</p> <p>New empirical evidence demonstrating the importance of CDT level at outset of any leadership intervention.</p>

	Supported/Not Supported	Developed	New
<b>Method/ Context</b>	Supports research which has utilised the SOI as a method to understand leadership development.	Builds on previous research by using a longitudinal method over a 2 year period.	<p>Demonstrated that SOI can be used effectively to assess growth in leadership development over time (consistent with Howell and Helsing, 2014)</p> <p>Past studies using the SOI as a method have primarily focused on military cadets or students in USA. This study focused on senior leaders in a financial services organisation based in Ireland.</p>
<b>Knowledge of practice</b>	Confirms value of investing in leadership development programmes and confirms the possibility of using the SOI as a method for assessing development.	<p>Highlights the importance of understanding the developmental level at the outset of a leadership development programme.</p> <p>Consistent with Alban-Metcalfe and Alimo-Metcalfe's (2013) suggests that leadership competency models need to be thoroughly researched, properly constructed and differentiated to meet the particular needs of specific organisational groups.</p>	Outlines a leadership development framework – NO LIMITS - to promote leadership development based on developmental stage at the outset of any intervention.

## 7.10 Chapter Summary

This chapter discussed the objectives and the key contributions of this study to the small but developing body of literature integrating CDT and leadership development. To contextualise the findings of this study the constructive developmental stage of participants was compared to other studies in the field. The first question in the study was then addressed with a discussion on the development or lack of development of participants in the leadership development programme versus the development of participants in the Control Group. This discussion noted that participants highlighted certain triggers that assisted their developmental trajectories. Following this, the second question in the study was discussed and the key triggers for leadership development for both the socialised stage (stage 3) of development and the self-authoring stage (stage 4) of development were deliberated upon. Each of the triggers were discussed in the context of the existing literature. The final question in the study relating to authentic leadership development was discussed. The implications of the research for practice were then discussed and the need to have managers and coaches at a development level higher than participants of a leadership programme was noted. The importance for organisations to give consideration to measuring constructive developmental level, to their feedback tool and to time was also discussed. Finally, as a practical contribution, the NO LIMITS framework for leadership development was discussed. The chapter finished with a summary of the main contributions of this research from a practical, empirical and theoretical perspective to the field of leadership development.

## Chapter 8. CONCLUSIONS CHAPTER

### 8.1 Introduction

This study set out to understand how leadership development takes place by integrating authentic leadership development with constructive developmental theory and leadership development processes. The research findings and analysis have provided a better understanding of how a leadership development programme can be utilised to have optimum impact on an individual leader's development. This chapter provides a summarised account of the main conclusions of the research regarding leadership development and its integration with constructive developmental theory and authentic leadership theory. The chapter also summarises the implications for practice and highlights the 'NO LIMITS' framework of development as a potential framework for organisations to consider when setting out to develop their leaders. The limitations of the research are discussed before presenting recommendations for further research. A final conclusion to the study is then provided.

### 8.2 Key Conclusions

In recent years a key feature in the leader and leadership development literature has been requests for more use of adult development theory and specifically constructive development theory to inform leadership development (Day et al, 2014; Petrie, 2014; Strang and Kuhnert, 2008; McCauley et al, 2006). In a review of 25 years of leader and leadership development research and theory, Day et al (2014) called for future research to investigate how to develop leaders and leadership effectively, which they suggest could be better informed by constructive development theory and authentic leadership theory. More specifically Day et al (2014) outlined a numbers of avenues for further research as follows: (1) to conduct longitudinal research on leadership development; (2) to clearly identify what is hypothesised to develop as a function of a leadership intervention and ensure that appropriate outcomes such as psychosocial orders of development are identified; and (3) to examine individual

differences in development trajectories to help understand how people develop over time. In answering the various calls for further research, this study has made a number of important contributions to understanding leadership development at the individual level. The main conclusions that can be drawn from the research are set out as follows.

First, the findings show that focusing on development as the criterion of interest rather than leader performance can be beneficial in demonstrating the positive impact of leadership development programmes. Day et al (2009) suggest that efforts to accelerate leader development should attend more to the interior layers of identity development and adult development than to the exterior level of observable skills and behaviours. Several participants revealed a new found confidence in their capabilities to set a course of action to deliver on goals and to manage relationships more effectively. To date, there have been limited studies (e.g. Helsing and Howell, 2014; Strang and Kuhnert, 2009; Eigel, 2008; Bartone et al, 2007) that have explored the subjective experience of adult development in the context of a leadership development programme. This study was designed to investigate the factors influencing development from the perspective of the individuals who participated in a leadership development programme. Helsing and Howell (2014) posit that knowing an individual's developmental stage offers a means to foresee the ways that they are likely to be either equipped or challenged by their roles. This study supports their proposition.

Second, the study identifies the triggers that support leadership development at different stages of adult development, thus contributing to understanding how leadership programmes can be designed to optimise such development. A key outcome of the findings was the high degree of correspondence between the triggers of development and the developmental stage at the outset of the leadership development programme. This suggests that leadership development should be assessed prior to participation in a leadership development programme. These findings align with Helsing and Howell (2014) who suggest that the SOI is one method that can be utilised to effectively assess growth in leadership

development over time by providing a more nuanced picture of how an individual is making meaning of his or her experiences.

Third, the method and context of the study represents, in itself, a contribution to knowledge about leadership development. As highlighted in earlier sections of the thesis, the lack of longitudinal research in leadership research has been noted in the literature (e.g. Day et al, 2014; Dinh et al, 2014; Mumford and Riggio, 2011). In terms of method, this was a quasi-longitudinal investigation carried out over a two year period to assess leadership development over time. This is in contrast to much of the existing literature on leadership development, which tends to be cross-sectional in nature (Bass, 2008). Furthermore, much of the empirical investigation of leadership development is quantitative in nature, with increased qualitative research being advocated by a number of scholars (e.g. Dinh et al, 2014; Parry et al, 2014; Stentz et al, 2012; Mumford, 2011). Thus, in its methodological approach, this study acts as a counterbalance to the prevailing convention of positivist research.

Fourth, as outlined in the discussion chapter, a leadership development framework 'NO LIMITS' is presented to promote leadership development based on the identification of developmental stage at the outset of any leadership development programme (see Table 8.1). Specifically, the framework implies that 'one size does not fit all' and that leadership development interventions should be tailored to suit the developmental stage of participants. Research on how people experience their own development, and what they believe has been important in promoting their growth, is almost non-existent (Vincent et al, 2014). The 'NO LIMITS' leadership framework of development identifies the key triggers to be deployed as well as noting the potential developmental outcomes that can be achieved through its implementation.

**Table 8.1 - NO LIMITS Leadership Framework**

Leadership Intervention	Stage at which Best Deployed/Required	Potential Outcomes
Network	Socialised Stage	Greater confidence in self-expression and relational transparency i.e. in leadership relationships with senior executives.
Coaching	Socialised and Self-Authoring Stage	Self-expression and greater clarity on personal values which drive behaviour
Leadership Knowledge and Competencies	Self-Authoring Stage	Leading change. Integration of meaning and values in determining action and behaviour.
Identity Development	Socialised Stage	Clarity of thinking and decision making and constructively challenging others.
Management Support	Socialised Stage	Increased self-confidence and improved self-expression.
Invested in Developing	Socialised and Self-Authoring Stage	Increased engagement in learning, increased self-confidence
Time	Socialised and Self-Authoring Stage	Adult Development (as measured by SOI) and authentic leadership development as defined by Avolio et al (2008)
Self-Awareness	Socialised and Self-Authoring Stage	Understanding of strengths and weaknesses and impact on others and how one makes meaning of experiences.

Fifth, this research has also contributed to the understanding of authentic leadership development and explicitly to the development of the sub-constructs of authentic leadership as defined by Avolio et al (2008). To use Day et al's (2014) language the 'No LIMITS' framework may be regarded as a 'typology of trajectories' as it highlights where an individual is starting from on their developmental journey. It also identifies the relevant processes required for development and highlights the potential outcomes of the triggers. The 'NO LIMITS' leadership framework highlights that for those at the socialised stage of development, self-awareness, coaching, an internal network, being 'invested' in development and positive

management support are key to developing some self-authoring (stage 4) perspective as well as appropriate time being allowed for development to occur. For those at the self-authored stage of development, self-awareness and coaching were deemed to be most valuable for development, as well as enhancing leadership knowledge.

As noted in the literature review links have been established between developmental stage and authentic leadership. Kuhnert and Eigel (2005) reviewed the Leadership Development Level (LDL) i.e. the developmental levels of leaders, and found that the highest LDL's were associated with authentic leadership. Authentic leadership most closely resembles stage 4 (self-authoring) or stage 5 (self-transforming) of Kegan's framework of development (Kuhnert and Eigel, 2005). However, this study's findings indicate that certain sub-constructs of authentic leadership can be developed, in particular, self-awareness and relational transparency for those at the socialised stage as they transition to the self-authoring stage of development. For those at the self-authoring stage of development at the outset of the research, the internalised moral perspective sub-construct of authentic leadership was developed, as they further developed their self-authoring perspective or moved to the self-transforming stage of development.

A final important, if preliminary, finding concerned the types of change that participants noted in relation to their performance which is consistent with the small but growing body of research showing positive associations between adult development, leadership performance and organisational outcomes (Vincent et al, 2015; Day et al, 2014). A number of the participants noted enhanced performance in achieving organisational goals, in interpersonal communication with direct reports and with senior executives, in resolving conflict in a more constructive manner, and in achieving a better work/life balance.

### 8.3 Limitations of the Research

In assessing the conclusions drawn by this research, there are a number of limitations that should be considered. The first of these is the sample size; there were 30 participants in the study and 60 interviews and while this is small in comparison to quantitative studies, it is comparable with other studies using the SOI as a key method in their research. Other studies vary in size from 5 interviewees (give sample ref here) up to 53 interviewees (e.g. Helsing and Howell, 2014; Bugenhagen and Barbuto, 2012; Zintel, 2012; Mumma, 2010 and Bugenhagen, 2006). Nevertheless, the sample size means that claims of potential generalisability or transferability to other contexts should be read with caution. Despite this limitation, the study did allow for a more in-depth analysis of individual leadership development that tracked stages of development much more closely than might be possible using large surveys. Future similar research should aim to include at least a comparable sample as was employed in the present study.

The second limitation is bias; in the case of this study, both researcher and study participant bias need to be considered. Throughout the duration of the field research, the researcher was also the Head of HR for Best Bank and therefore could have been viewed as having a vested interest in the success of the leadership development programme. To mitigate any risk of bias, the SOI interviews were peer reviewed by another SOI rater and any interviews that were not agreed upon at a first scoring were then scored separately by another SOI rater who had trained both the researcher and the peer reviewer. The validation of the scoring by other raters of SOI should have negated the possibility of bias being present. A further possible bias that warrants consideration is based on self-selection for participation in the leadership development programme. The participants on the leadership development programme had applied to participate in the programme and, even at first interview stage, a number of participants were already expressing dissatisfaction with how they behaved or were viewed in the organisation and appeared open to change and development. Those in the Control Group, on the other hand, had not at the time of first interview applied to participate in

the programme, though five participants in this group indicated at the Time 2 interview that they intended to participate in the programme at its next launch.

Third, the fact that the study was conducted over a period of two years during which time there was significant change in the organisation was also a potential limitation of the study. Given the research design, it is not possible to assert a 100 per cent causal relationship between the leadership development programme and leader development. This is also a claim that cross-sectional research, which has been so dominant in the field, cannot make. However, it was expected that the use of a Control Group mitigated this limitation. In addition, while all methods of research have their advantages and limitations, the research approach using the SOI as a research method was found to be reliable and valid in the present research. Notwithstanding limitations of the research approach such as other influences that may impact on leadership development (e.g. personal motivation, role changes or other learning interventions) which were not assessed, it is believed that the research method being deployed elicited a rich vein of insight into leadership development at an individual perspective. Nevertheless, more longitudinal research investigations over longer periods of time would help to corroborate the study's findings. As noted above, the research was conducted over a two year period with at least ten months lapsing between each interview. It may be the case that if another six or twelve months had been allowed between Time 1 and Time 2 interviews then more development may have been evident. As a quasi-longitudinal study, a third interview might also have provided further additional data and insights into development.

Finally, it is acknowledged that the findings of this study may be context specific and therefore cannot be generalised beyond the current context. The study reports empirical findings within one financial services organisation in Ireland and it should be noted that the research took place at a time when Ireland was experiencing a financial crisis. During difficult economic times, when job security is more uncertain, there may be more of an impetus to invest in personal development. However, these individuals perhaps felt the pressure to

develop but also felt fortunate for the opportunity that the organisation was providing. In many respects, this may limit the findings and as such the findings cannot be generalised beyond this setting. Investigating development in a more settled economic climate would therefore be worthwhile.

#### 8.4 Recommendations for Further Research

There are a number of recommendations for future research. First, the study identified that, for a number of participants at the socialised stage, having management support was necessary for their development. The extent to which managers believed they were supporting participants was not measured in this study nor was the developmental level of managers assessed. Given the lack of literature in the area, future research should assess the developmental level of managers to evaluate whether this has any impact on participant development. In addition, it would be interesting to assess whether manager personality has any influence on development. For example, it may be the case that having a narcissistic manager might impact on development opportunities or even access to development opportunities for potential leaders. Conversely, authentic leaders may have more interest in the development of others.

In a similar vein, the developmental level of coaches was not assessed in this study. The researcher contends that this is an area ripe for further research as the benefit of the coaching in this study may have been impacted by the coach's developmental stage. In a study of consciousness development, Manners et al (2004) found that programme content needed to be at least one stage higher than the participant's stage of consciousness. The findings from this study suggests that this might be the case specifically for one-on-one coaching also and there appears to be a lack of literature in this area.

Second, this study identified participant development at an individual level and many of the participants identified enhanced performance and cited an improvement in work

relationships and achievement of personal and team goals at work. However, leadership effectiveness was not measured in this study and this is certainly an area suitable for further investigation. A fruitful avenue for further research would be to measure leadership effectiveness prior to participation in a leadership development programme and to re-measure upon completion of the programme (e.g. Eigel and Kuhnert, 2007). In addition, an outcome of the study was the development of authentic leadership constructs. As discussed previously, developmental stage has been evidenced as having linkages to authentic leadership, however, there would be value in exploring this further using a tool such as the Authentic Leadership Questionnaire (ALQ) which would measure the components that comprise authentic leadership as defined by Avolio et al (2007) or the Authentic Leadership Inventory (ALI) as defined Neider and Schriesheim (2011).

Third, this study noted the positive influence of time on the development of participants. However, it would be interesting to see if further longitudinal research that was conducted over a longer period of time would produce different results. It would be interesting to conduct follow-up SOL's a number of years after the leadership development programmes were completed to assess whether development continued for those that had changed or whether those that had not developed in the timeframe of this research changed in subsequent years.

Finally, from a practical perspective the NO LIMITS framework should be researched in other contexts to assess whether the same findings and triggers of development apply. It would be interesting to see if further research identified that development occurred in the same way for those at the varying stages of adult development, assuming leadership development programmes of a similar nature were to be deployed. Future research linking leadership competency frameworks to constructive developmental level and/or different competencies outlined for each developmental level could be a fruitful avenue of research. It would also be interesting to see if a leadership programme designed and delivered for only those at the socialised stage of development or for only those at the self-authoring stage would result in significant, different or no change in developmental levels.

## 8.5 Conclusions of the Research

This study illustrates that the application of Constructive Developmental Theory to the field of leadership development research provides a meaningful lens through which the development of individual leaders can be better understood. The findings support existing research that has found links between the leadership development literature and the adult development literature. This study demonstrates that focusing on 'development' as the criterion of interest rather than leader performance can be beneficial to demonstrate the positive impact of leadership development programmes. Some of the findings demonstrate that at certain stages of development, particular sub-constructs of authentic leadership can be developed, in particular, self-awareness and relational transparency for those at the socialised stage of development and internalised moral perspective for those at the self-authoring stage of development. The findings also noted that participants identified particular triggers for development i.e. those at the socialised stage of development emphasised the importance of enhanced self-awareness, management support, an internal network and one-on-one coaching, while those at the self-authoring stage emphasised self-awareness, leadership knowledge and coaching. Other key triggers of development were identity development and time.

A strong case was presented for understanding the adult development stage of leaders prior to participation in any leadership development programme and from a practical perspective a 'NO LIMITS' leadership framework was presented for consideration when setting out to develop leaders in an organisation. The focus of the study was to assess development at an individual level and, while this may not prove particularly efficient from an organisational perspective, the empirical evidence suggests that it could be effective. Specifically, it suggests that 'one size does not fit all' and that leadership development interventions should be tailored to suit the developmental stage of participants. The research is timely in view of the recent appeals to integrate adult development with leadership

development. In summary, this researcher joins others (Vincent et al, 2015; Day et al 2014; Dinh et al, 2014; Petrie, 2014; Kuhnert and Eigel, 2008; McCauley et al, 2006) in calling for further research integrating Constructive Developmental Theory and leadership development.

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**APPENDICES**

**APPENDIX A – SOI FORMULATION PROCESS SHEET**

**Subject-Object Analysis Formulation Process Sheet**

Name or code of Interviewee:

Analysis Page #:

Bit #/Interview page #	Range of Hypotheses	Questions
	1 1(2) 1/2 2/1 2(1) 2 2(3) 2/3 3/2 3(2) 3 3(4) 3/4 4/3 4(3) 4 4(5) 4/5 5/4 5(4) 5	1) What structural evidence leads you to these hypotheses? 2) What evidence leads you to reject other plausible counter-hypotheses? 3) If you have a range of hypotheses, what further information do you need to narrow the range?

## APPENDIX B – SUBJECT OBJECT ANALYSIS OVERALL FORMULATION SHEET

### Subject-Object Analysis Overall Formulation Sheet

Name or code of Interviewee:

Analysis Page #:

A. Tentative Overall Hypotheses—minimum of 3 bits reflective of each hypothesis: \_\_\_\_\_

B. Rejected Tentative Hypothesis/Hypotheses and Reason(s) for Rejection

1. Hypoth: \_\_\_\_\_ Why rejected:

2. Hypoth: \_\_\_\_\_ Why rejected:

C. SINGLE OVERALL SCORE (S.O.S.) – minimum of 3 bits reflective solely of this score: \_\_\_\_\_

[If interview not scorable with single score, enter range of scores. Explain what further information needed to reach single score.]

D. Testing S.O.S. if you have not already justified your rejection of scores on either 'side' of the S.O.S., do so here:

## APPENEDIX C – APPLICATION FORM FOR LEADERSHIP DEVELOPMENT PROGRAMME

### Application Form for Leadership Development Programme

#### To be completed by applicant

Name of Applicant:

Job Title:

Start Date:

Name of Manager:

Dept:

Time in Current Position:

Describe strengths you would like to leverage and areas for development you would like to work on through your participation on the Leadership Development Programme. (100 words):

What do you see as the personal and business benefits from participating on the programme? (100 words):

Describe contributions you have made to Best Bank and activities that you are involved in outside of your current role and responsibilities. (100 words):

Describe your career goals. (100 words):

Briefly describe characteristics and learned skills you use within your day to day role. (100 words):

Head of Department: Briefly outline why this applicant should be accepted on the programme?

**Investment Required**

Best Bank is investing heavily in this programme in both time and money. The time required for you to participate in the programme is over a 10 month period. You will also need to invest additional time in coaching and in the completion of practical projects. Attending each of the learning sessions is compulsory and required to attain your leadership certificate.

Do you agree to commit to the time required? Yes/No

The following dates are the dates set for the programme. If for any reason these dates do not suit please contact HR to discuss ASAP.

Date 1 & 2  
Date 3 etc.

Please enter these dates into your diary as soon as you receive confirmation of your acceptance on the programme.

Applicant: \_\_\_\_\_

Head of Dept: \_\_\_\_\_

Director: \_\_\_\_\_

HR: \_\_\_\_\_

\*\*\*\*\*

*Upon completion of the **full** programme you will be awarded the Best Bank Leadership Certificate.*