A DEVELOPMENTAL PERSPECTIVE ON LEADERSHIP EDUCATION OF

ASPIRING PRINCIPALS

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iii

A DEVELOPMENTAL PERSPECTIVE ON LEADERSHIP EDUCATION OF

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This study describes the design and delivery of a five-day experiential leadership institute of a K-12 principal certificate program redesigned to meet new state standards and research recommendations using Kegan's (1982, 1994) constructive developmental theory and Heifetz's (1994, 2009) adaptive leadership theory. The study investigates ten students' experience and learning in this adaptation of case-in-point methodology. The study found that students demonstrated shifts in their perspectives on self, leadership and organizations as systems. Students showed variations in the complexity of these perspective shifts with some having micro-developmental characteristics. Case-in-point teaching in the institute supported growth in complexity of perspective taking through an iterative process of reflection and encounters with different points of view on personal leadership failures. Adult development framing gave students a linguistic support to articulate their experience and learning in case-in-point teaching. Implications for principal preparation and developmental research on leadership education are discussed.

TABLE OF CONTENTS

LIST OF TABLES

LIST OF FIGURES

ACKNOWLEDGMENTS

Five years ago, I sat down with Mike Gunzenhauser and told him I was looking to study leadership development and adult learning as meaning making. Mike's initial affirmation and continued support as my advisor has made this study possible. Mike, in many ways embodied the characteristics of an effective holding environment, walking the fine line of supporting me where I was and reading everything I sent him, and also challenging to continually move to more complex analysis.

Mike Gunzenhauser is not the only important influence from the University. Each professor moved my thinking along this path to becoming a scholar. But by far Charlene Trovato had the most influence in shaping the direction of my research and my experience at the University. I have to confess I did not come to the University of Pittsburgh to study principals. But when she offered me a chance to help in the research for the redesign of the principal certificate program, she not only made it possible for me to finish my studies through the assistantship, she opened up principal preparation as a field where I could do exactly what I wanted to do: teach and research about leadership education and adult development. The opportunities Charlene gave me to first learn to teach, and then to teach what I loved in the program she had worked so hard to launch were incredible gifts. Thank you.

Finally, these last five years could have never happened without the daily love, support and encouragement of my wife, Joy Guilleux. Thank you for being adventurous and selfless enough to spend your first years of marriage with a doctoral student. I could not have done this without you.

1.0   CHAPTER ONE: INTRODUCTION

"If there is no transformation inside each of us, all the structural change in the world will have no impact on our institutions." (Block, 1993, p. 77)

1.1   INTRODUCTION

The role of school principals has come under increased scrutiny in the pursuit of accountability for student achievement. In addition to the renewed emphasis on student achievement, the increasingly complex global interdependence has changed the context of education and the work of school leaders (Hershock, Mason, & Hawkins, 2007). Many have argued that the demands of the job now "far exceed the reasonable capacities of any one person" (Davis, Darling-Hammond, LaPointe, & Meyerson, 2005, p. 3). While innovations in the organizational structure of schools are being tested around the country to meet these new demands, the development of future principals has recently drawn the attention of a variety of stakeholders in public education.

In addition to the monopoly of schools of education and the recruiting and admission practices of preparation programs, the instructional practices used in principal preparation programs have also come under increased criticism. Echoing a finding from the field of public management (Heifetz, Sinder, Jones, Hodge, & Rowley, 1989; Schall, 1995), Davis et al. (2005) in their review of the literature on principal preparation for the Wallace-funded Stanford *School*

Leadership Study conclude that "the demands of the job have changed so that traditional methods of preparing administrators are no longer adequate to meet the leadership challenges posed by public schools" (p.3).

One response to these critiques has been research on the successful practices of innovative principal preparation programs. Some common characteristics of these innovative programs include learning outcomes aligned with standards for educational administrators (e. g. Interstate School Leaders Licensure Consortium [ISLLC]), activities such as self-reflection and problem-based learning and structures such as cohorts and integrated experiential components. While the influence of the school leaders on student learning has been researched (e.g., Wahlstrom, Seashore Louis, Leithwood, & Anderson, 2010), much less is known about the effectiveness of these innovative features of principal preparation on growing the leadership capacities of aspiring principals to make a change in schools and student learning. As Davis et al. (2005) remark, "there is strikingly little evidence demonstrating whether and how the kinds of opportunities provided by program features enable principals to become more effective in their practice" (p. 7).

While much of the research on principal preparation involves self-reports from candidates, the literature has primarily focused on admission practices and on outcomes and standards for effective educational leaders. Recent recommendations are for preparation programs to be informed by adult learning theory that recognizes aspiring principals as learners. Yet very little has been written about the "hidden diversity" of adult development as it pertains to the preparation of effective school leaders. The study of the possible contributions of adult development theory to the call for leadership education informed by adult learning theory in principal preparation programs is the subject of this dissertation.

1.2   PROBLEM STATEMENT AND STATEMENT OF PURPOSE

Ellen Schall (1995), in her presidential address to the Association of Public Policy and Management said, "We must invent more ways to teach reflective practice and prepare people to learn systematically from their own experience so that they might better navigate the messy realities of day-to-day public management" (p.22). The school leadership literature today seems to agree with this call (Heifetz & Linsky, 2004; Helsing, Howell, Kegan, & Lahey, 2008). As a result of their research on principal preparation, Davis et al. (2005) conclude, "There is therefore the need to create real and simulated leadership experiences for participants in preparation programs who would otherwise lack the experiential base" (p. 9). Constructive developmental theories may contribute to how principal preparation programs meet this need.

The call for new and experiential ways of teaching leadership to aspiring principals reflects another recommendation from the literature. The research into the state of the nation's school leadership programs (Iriti & Bickel, 2005; Levine, 2005) and review of best practices (Darling-Hammond, LaPointe, Meyerson, Orr, & Cohen, 2007; Department of Education, 2004) recommends the development of coherent curriculum that uses active learning, integrates theory and practice and is informed by adult learning theory (Davis et al., 2005; Iriti & Bickel, 2005; Orr, 2006).

Underlying these particular curricular and instructional recommendations is an approach to learning and often unexamined expectations about aspiring principals as learners. More specifically, these practices seem to be more about demanding changes in the way aspiring principals see or know the world than about skills development. These practices demand changes that are epistemological in nature--a change in ways of knowing (e.g., using experience to integrate theory and practice, or learning in relationships through cohorts) and ways of

3

constructing the self (e.g., as a self-directed learner able to negotiate feedback from multiple levels of an organization).

Constructive developmental theories seek to understand human development as changes in the construction of meaning or meaning-making. Kegan's (1982, 1994) adult development theory traces the evolution of the organizing epistemological process, the lens through which one constructs a "self" and one's orientation to the world. Kegan (2000) describes the link between development and transformational learning as the changes in our meaning-making that lead to transformation in how we know, rather than what we know. According to adult development theory, at each developmental stage and in the periods of transition between stages, adults have unique opportunities for learning and unique limits in perspective taking. Berger (2004) identifies these limits as the growth edge of learning.

The notion of developmental growth edge in the meaning-making of adults is absent from the recommendations of principal preparation literature. There is a gap in the literature about the role meaning-making systems, or complexity of mind, might play in attempts to align instruction with adult learning theory. While Kegan's constructive developmental theory and the role of meaning-making have been researched in the school leadership literature, this research has primarily addressed teacher preparation and development (e.g., Garvey Berger, 2002; Hammerman, 2002; Hasegawa, 2004), not principal preparation.

Another gap in the literature appears around leadership education. Adult development theories have been used to study experiential leadership courses in other settings but rarely with aspiring principals in the short-term intensive context dictated by the curricular constraints of principal preparation. Loevinger's ego development theory has been used to research transformative learning in semester-long experiential leadership courses in MBA programs

4

(Harris, 2002). Kegan's constructive developmental theory has also been used to study semester-long experiential leadership courses for graduate students in education and psychology (Martynowych, 2006) and open enrollment experiential weekend conferences (Silver, 2001). Torbert and Cook-Greuter's theories have also been used to study open enrollment experiential weekend conferences (McCallum, 2008). These studies point to meaning-making as an influence on what students learn and experience in experiential classes. Experiential leadership courses in short-term institute settings for principal preparation have not been studied from an adult development perspective as far as I can tell.

The lack of research on adult development and principal preparation is problematic on a number of levels, not the least is the critical need for effective preparation programs to produce the next generation of school leaders. Another reason this lack of research is problematic is that both the recommendation for self-directed learning in educational leadership programs and the recommendation for experiential leadership education seem to reflect a system of meaning-making that Kegan (1994) has found most adults have not yet fully attained. Placing aspiring principals in such an environment challenges their learning, or as Kegan (1994) suggests, it could put them "in over their heads."

This study seeks to address a gap in these two related calls for changes in principal preparation. The principal preparation literature suggests a need for more experiential leadership education and for greater attention to adult learning theory. The literature supporting these two initiatives, in its calls for reform in the practice of principal preparation, fails to take into account the role of meaning-making described by adult development theory.

This study hopes to contribute, on the one hand, to the emerging literature applying a developmental perspective to leadership education in general and, on the other hand, to the

development of more effective principal preparation programs by exploring the relationship between meaning-making and aspiring principals' experience of a course designed to meet the call for reforms.

Following a call by the Pennsylvania Department of Education (PDE) for principal preparation programs to be aligned with new state standards and university-school district partnerships, the University of Pittsburgh launched the Leadership Initiative For Transforming Schools (LIFTS). The new program is built on three key roles of the principal: the instructional leader, the institutional leader, and the public leader. Providing the introduction to the program and the foundation for these three leadership roles is the fourth curricular block entitled Leader as Learner. Reflecting PDE standards that the principal should be the lead learner, the core of the Leader as Learner block is the Leadership Institute, a five-day intensive institute that opens the 15-month LIFTS program. The Leadership Institute seeks to address some of the critiques of principal preparation programs found in the literature by offering a conceptual and experiential bridge between theory and practice--between leading and learning by using case-in-point teaching.

In 1983, Ron Heifetz and a group of faculty reviewed the leadership courses taught at the Harvard University Kennedy School of Government. The intent was to develop a teaching methodology for leadership that would equip students for practice and complement the training in policy analysis for which the school was known. They asked, "Could a practice of leadership be taught in the classroom that would be transferable to students' professional environment?" The result was the development of case-in-point teaching, a leadership pedagogy that drew directly on students' real life experience to convey concepts and practices of leadership (Heifetz & Snyder, 1989; Johnstone & Fern, 1994; Parks, 2005).

Unlike lectures or discussions, case-in-point teaching uses the classroom and its various modalities (e.g., small and large group meetings) as a laboratory for the introduction and practice of adaptive leadership concepts. The incidents of the classroom itself, the instructor's and the students' experiences are used as data as the class as a social system is viewed as a case to be studied. The life of the class as an organization--the relationships, the roles and the dynamics that develop--when viewed with a "here and now" lens, become opportunities for practicing leadership in the formation and implementation of interventions to mobilize the organization for learning. In addition to the class-as-a-whole, consultation groups offer a smaller laboratory as the students learn to consult to personal cases of leadership failure from their professional lives in small groups that meet for the length of the class. As opportunities arise in the development of the class as a group, the instructors offer students the concepts and tools of adaptive leadership to grow in their capacity to analyze, intervene and reflect on their practice of leadership.

Johnstone and Fern (1994) describe case-in-point teaching as a reflective practice that encourages "students to be more fully present, connected to themselves, and what's going on in the system they are trying to shape, influence or exert leadership in" (p. 4). As such case-in-point courses are unlike most graduate courses. It is an emotionally and cognitively intense experience built on the assumption that experiential evidence is more compelling and that an embodied and congruent pedagogy leads to more powerful learning (Heifetz & Snyder, 1989).

The objective of this study is to examine the experience and learning of aspiring principals in a program designed to meet the call for reforms (adult learning structures and experiential learning). The experiential leadership course studied was uniquely designed to offer support through the theoretical framing of diversity of meaning-making. While experiential leadership courses have been studied, I only found one study (Heifetz's initial survey of his

7

students in 1989) that has been done from the perspective of the instructor seeking to address shortcomings of the methodology and none that had studied the education of aspiring principals.

1.3   RESEARCH QUESTIONS

The research on successful practices of principal preparation and the call for the redesign of school leadership programs to align with state and "national" standards offer a great opportunity to explore some of the gaps and questions identified in the overview of the literature presented earlier. Two questions raised by the recommendations for the use of experiential methods in training aspiring principals found in the review of the literature are:

• What do aspiring principals report learning about themselves and their leadership in a short-term experiential leadership class?

• In what ways, if any, does case-in-point teaching support shifts in perspective-taking?

1.4   EPISTEMOLOGY AND THEORETICAL PERSPECTIVE

Crotty (1998) suggests a taxonomy for social research that guided the development of this research project. According to Crotty, four elements form the basis of any research: epistemology, theoretical perspective, methodology, and methods. This section examines the first two of these elements as they inform this research project while the last two elements will be explored in a subsequent chapter.

1.4.1 Epistemology

One of the theoretical lenses used in this project is the lens of human development as epistemological evolution. As a constructive developmental theory—a theory about how human beings construct meaning and how that construction evolves over time -- Kegan's (1982) theory places the very notion of the meaning construction at the center of human development. Kegan's interest in the organizing principles that influence how human beings construct meaning, places him at first glance, in a constructionist epistemology.

Yet Kegan's (1982) theory, as I understand it, does not fit neatly in the epistemological and theoretical foundations suggested by Crotty (1998). Kegan believes that the theory is about "people's everyday meaning making" (Kegan, 2009, personal communication) and is therefore reflective of a constructionist epistemology, yet the theory also describes what Kegan believes is a naturally occurring hierarchical evolution of human meaning making. In his attempt to develop a universal theory of human development, I see evidence of some remaining objectivist assumptions often found in psychology as a discipline in Kegan's work. As Charmaz (2006) notes: "positivist theory seeks causes, favors deterministic explanations and emphasizes generality and universality" (p.126).

Although I take issue with some of the constructionist implications for Kegan's anthropology as reductionistic--and will turn instead to Garvey Berger's (2002) reformulation of subject-object relations as a thin slice of being human she calls self-complexity--the two research questions this study seeks to answer ground this research project in the constructionist tradition. I am interested in understanding how individuals make meaning of their everyday experience in general and how that way of making sense of their experience might influence their learning through a particular leadership education methodology.

Adaptive leadership (Heifetz, 1994), the other theoretical frame used in the course being studied, assumes that the capacity to develop multiple interpretations of a situation is an essential skill for leaders. In fact, students are encouraged to use Wells' (1985) group-as-a-whole analysis to develop multiple and alternative (or mutually exclusive) hypotheses of social and organizational events. The hypothesis generation is not engaged in the pursuit of an objective truth to be discovered through hypotheses testing. Rather it acknowledges the situatedness of meaning-making and the fuller understanding that can be developed when multiple perspectives are entertained.

The theoretical frames for the class flow from a constructivist epistemology, and as the instructor-researcher, I am looking to have a certain epistemological coherence between the foundations of what I teach and how I do research. I also bring a certain amount of hesitancy to some of the philosophical assumptions of constructionism. While I believe that human beings are inherently interpretive creatures and that we construct meaning individually and collectively by which we make sense of our lives, I find some problems with the ontological implications of constructionism. I have been intrigued by an alternative offered by two 20th century Dutch philosophers, Dooyeweerd (Dooyeweerd, Vennen, & Zylstra, 1979) and Vollenhoven (2005), who offer an ontology that takes at its starting point the meaning-infused created nature of reality. Dooyeweerd and Vollenhoven attempt to develop an "integral ontology" that affirms the existence of things (or entities), the functioning of those things and the relations between the things and functioning. This provides reality with a variety of ways things can be presented given the irreducible nature of reality itself.

If constructionism is both realist and relativist, as Crotty asserts (p. 63), Dooyeweerd's ontology argues that the realism is built on relations within the thing or experience in question.

The so-called relativism does not simply lie in the story or description of an interpretive community but in the nature of interaction with a world built on relations between things and functions (see Hart's "Understanding Our World: An Integral Ontology," 1984). This foundational relational character of the world allows for the continual uncovering process of interpretation that aligns with the interpretivist perspective of hermeneutical methodology I look to use for this research.

1.4.2   Theoretical perspective

Denzin and Lincoln (1994) draw from Levi-Strauss's image of *bricoleur* to conceive of the researcher-as-*bricoleur* as a jack of all trades, able to draw on a variety of methods to serve his research agenda. Crotty (1998) takes issue with the liberty Denzin and Lincoln take with Levi-Strauss' metaphor. For Crotty, Levi-Strauss' *bricoleur* is less of a jack of all trades and more a "makeshift artisan" (p.50) able to reuse or reinvent parts to different objects to construct something new. The difference is one of attention. Levi Strauss's *bricoleur* focuses on the objects while Denzin and Lincoln's *bricoleur* focuses on the self, moving inquiry, as Crotty laments, into subjectivism.

Kincheloe (2001, 2005) seeks to develop the notion of bricolage in alignment with Denzin and Lincoln (1994) but also to return to Levi Strauss's view of *bricoleur* as tinkering, to call for a researcher-as-bricoleur as someone embracing the complexity of all social phenomena. The *bricoleur* tinkers with multiple and sometimes contradictory methodologies to respond to the demands of the context: "The domains of the physical, the social, the cultural, the psychological, and the educational consist of the interplay of a wide variety of entities— thus, the complexity and the need for multiple ways of seeing advocated by *bricoleurs"* (Kincheloe, 2005, p. 327).

11

For Kincheloe (2005) bricolage resists the monological and reductionist methodologies. Drawing on complexity and chaos theories, Kincheloe's bricolage encourages the use of multiple methodologies to study the multidimensionality of the relationship between human beings and their context. Of the five dimensions of the bricolage (methodological bricolage, theoretical bricolage, interpretive bricolage, political bricolage, and narrative bricolage), methodological bricolage is the one of interest for this research project.

In my desire to study the experience of leadership education for aspiring principals, I sought to create a space for their voices to speak but I also realized that if I stopped there, a large amount of data about the context of their learning would be withheld; namely that my perspective on the context as course designer and instructor in the class added a valuable richness. While Kincheloe (2001, 2005) has developed Denzin and Lincoln's (1994) notion of bricolage primarily for use with research from a critical theory perspective, his notion of methodological bricolage offers a rationale for bringing together methodologies from different theoretical perspectives. As such, this interpretivist research is informed by the hermeneutical phenomenology of Gadamer (1976) and Ricoeur (1989), the constructive developmental lens of Kegan and grounded theory with its roots in symbolic interactionism.

The methodology of this research project is in part adapted from Nakkula and Ravitch's (1998) hermeneutical approach to theory, practice, and research for youth development. Crotty (1998) writes that the interpretivist approach "looks for culturally derived and historically situated interpretations of the social life-world" (p. 67). Using key concepts from Heidegger, Gadamer, and Ricoeur, Nakkula and Ravitch offer a perspective to approach research in human development. Central to their hermeneutical phenomenology is the role of interpretation in applied developmental work. This aligns well with the intent of this study to include the

instructor's perspective on the individual and group-level development that may occur through the Leadership Institute.

From Heidegger's *Being in Time* (1993) Nakkula and Ravitch (1998) take the concept of *thrownness*, or the experience of encountering new experiences which challenge our way of being in sometimes minute, sometimes drastic ways. Attending to the experience of being thrown is about making conscious the process of encounter that influences our interpretations. Gadamer (1976) refers to this idea in talking about "the forward arc of projection" and the forestructures that guide our understanding. For the researcher, the instructor, or the aspiring principal growing in understanding of these forestructures or prejudgments, and of the way they open up or limit our interpretations, becomes an important practice to highlight our situatedness in approaching the interview, the class, and the leadership case respectively. Rather each is projected into this "new" moment from what one has learned and assimilated and from the ways we have become prepared to encounter and organize the "new." Gadamer describes prejudice and bias as "unavoidable process…that needs to be embraced and reflected upon rather than denied and avoided" (Nakkula & Ravitch, 1998, p. 9). Gadamer's perspective on prejudice and bias offers a more spacious way for the researcher to take up the tasks of research by encouraging the researcher's critical self-reflections as data for analysis.

The second half of Gadamer's (1976) view of the hermeneutic circle is the return arc of reflection. The critical process of reflecting on what one was thrown into helps to facilitate the transformation of our biases and the forestructures of our understanding. Nakkula and Ravitch (1998) describe the hermeneutic work of research and practice as "engaging with the world from our prejudiced position and reflecting on that engagement for the purpose of revising our prejudices in a manner that makes future engagement healthier and more positive" (p. 27).

From Gadamer's (1976) perspective, our prejudices and biases are shaped by the socializing characteristic of language. Language both opens and constricts the possibilities for understanding. Ricoeur (1989), also interested in the role of language and texts, contributes to this hermeneutical approach the bridge between the spoken and written word. Ricoeur offers a broad definition of text to include group and individual behavior. Stories and human actions become texts to be interpreted. Through the process of "distanciation" (Ricoeur, 1973), or critical reflection, one can uncover the deeper meanings of human action.

Drawing on key concepts from hermeneutics, Nakkula and Ravitch (1998) forge a theoretical perspective (and a methodology which will be described later in Chapter Three) for research, theory and practice. While applied with a dual focus of developmental work with youth and adult counselors-in-training, its interpretive framework offers rich opportunities for research in adult development in general and in leadership education in particular.

Grounded theory has its roots in symbolic interactionism (Crotty, 1998). Charmaz (2006) traces the development of grounded theory from the marriage of Glazer's Columbia University positivism and Strauss' Chicago School pragmatism. She argues that grounded theory can be separated from its positivist assumptions and that the methodological "guidelines are, in many ways, neutral" (p.9) and can be used with more current methodological approaches and assumptions. In particular, Charmaz seeks to acknowledge the interpretive dimension of both the data and the theory formation. While Crotty places symbolic interactionism at odds with the hermeneutical approach, Charmaz suggests that some grounded theory methods can complement Nakkula and Ravitch's methodology. Kincheloe would argue for the value of holding this tension through the use of bricolage.

1.5   SIGNIFICANCE

Following recent and well-publicized research on practices of successful principal preparation programs (e.g., Darling-Hammond, LaPointe, Meyerson, Orr, et al., 2007; Levine, 2005), several large research projects are currently being developed to assess the effectiveness of principal preparation programs (e.g., School Leadership Preparation and Practice Survey). My hope is that this study will contribute to this effort to identify effective teaching methodologies for developing principals. By examining student learning through the experiential leadership education methodology of case-in-point teaching, this study also looks to offer a glimpse into how adult developmental theory can contribute to the theoretical underpinnings guiding instructional practices in principal preparation programs.

This study aligns itself with a number of dissertations and studies that have, over the last twenty years, sought to explore the contributions of a constructive developmental perspective in different settings in education. The focus of this research opens a new avenue in this tradition by examining leadership education of aspiring principals. As such, it represents the introductory steps into the development of a new line of inquiry for leadership education in principal preparation. The next chapter will describe how this approached has proved fruitful in other arenas.

From 1995 to 2000, I was on the teaching staff of several leadership classes for graduate students in education at Harvard University and Teachers College. The largely experiential classes brought together several theoretical frameworks to create an environment for transformation. Drawing on the work of Heifetz (1994), Wells (1985) and the Group Relations literature (e.g., Colman & Bexton, 1975; Colman & Geller, 1985; Cytrynbaum & Noumair, 2003) and general systems theory (e.g., Rice, 1969; Senge, 1990), the case-in-point-inspired

pedagogy of these classes offered a laboratory for the examination of real world educational leadership cases. The classes were intensive for the staff and the students and the feedback was wide-ranging. Some students had transformational experiences, understanding themselves, their situations and their leadership in ways that felt empowering. It was not unusual for a student in this case to comment, "This was the best course of my graduate career." A larger group of students gained some insights on their leadership as reflected in their papers, and another smaller group disliked the whole experience.

As far as I know we never researched the implementation of the students' learning back into their work environment. Powell (2002) described the power of these experiences in training leaders as introducing counter stories to the dominant ideas of school change. Anecdotally, though, it seemed that the students in the first group became more effective change agents in their institutions. I was always left wondering why only a small group of students were "getting it." These questions led me to the study of leadership and epistemology. By bringing an adult development perspective to these questions, I look to better understand the student experience of case-in-point teaching and to offer suggestions to improve the effectiveness of leadership education for current principal preparation.

The results of this study confirm that the recommended attention to adult learning for aspiring principal programs must go beyond coherent curriculum and blending theory and practice into creating learning environments because perspective-taking influences what one learns about leadership. Through the voices of students, I hope to convey for readers an appreciation for the influence of growing edges on individual learning and perspective taking and for the opportunity that experiential leadership courses have to serve as holding environments for the evolution of our students' meaning-making.

In addition, this study serves as an early formative evaluation of one of the curricular blocks of the newly redesigned principal preparation program at the University of Pittsburgh. A follow-up study could involve interviewing the participants at two other points: at the end of the year-long program and again after their first year as principals. To explore more deeply the relationship to adult development, these interviews could include a Subject-Object Interview or some other adult development measure to identify evolution in meaning-making over time and an interview about learning about leadership.

1.5.1 Framing experiential learning for broadening perspective taking

Through this research project, I wanted to see what aspiring principals learn through case-in-point teaching and if a constructive developmental perspective can offer theoretical and practical support to the recommendations in the principal preparation literature.

Adult development theory suggests that each stage of meaning-making creates "edges of understanding" that influence how and what we can have perspective on. Developmental meaning-making systems may influence students' experience and learning in short term experiential leadership education programs and thus curriculum development and instructional practices of principal preparation programs should attend to the epistemological demands made of the students. Theoretically, complexity of mind influences how students understand systemic thinking found in adaptive leadership. For example, socialized perspectives will focus more on the interpersonal interpretation of leadership cases while self-authored perspectives will use more a systems thinking perspective to interpret the school as a whole.

This study argues for the benefits of the theoretical framing for case-in-point teaching offered by adult development. It confirms other research about the variations in and

developmental character of some students' learning and experience in experiential courses. It recommends further study and attention to the impact of aspiring principals' prior assumptions and experiences of leadership and authority in the leadership curriculum for principals.

1.6   ROAD MAP FOR DISSERTATION

The remaining chapters of this dissertation will build the theoretical and research context of this study (Chapter Two) and offer the methodology for this study (Chapter Three). The rest of the dissertation is laid out as follows:

- Chapter Four-Teaching and Learning in the Institute

    In this chapter, I describe the design, rationale, and delivery of a 5-day leadership institute and offer a model for how case-in-point teaching in the institute supported the students' shifts in perspective taking.

- Chapter Five-Perspectives on systems

    In this chapter, I examine the consultation process and students' reaction to systemic interpretations. The interactions of individuals, the instructors, and the cohort as a whole are analyzed.

- Chapter Six-Perspectives on self

    This chapter describes the shifts in students' self-understanding through role analysis.

- Chapter Seven-Perspectives on leadership

This chapter looks at the changes in the students' understanding and practice of leadership including the challenges to their leadership assumptions and their application of learning.

- Chapter Eight- Implications and conclusions

This chapter will offer a review of the findings of the study and the implications for leadership education and principal preparation programs. The limitations of the study will be explored, as will future lines of research building on this study.

2.0   SECOND CHAPTER: REVIEW OF LITERATURE

2.1   PRINCIPAL PREPARATION LITERATURE

The role of school principals has come under increased scrutiny in the pursuit of accountability for student achievement. In addition to the renewed emphasis on student achievement, the increasingly complex global interdependence has changed the context of education and the work of school leaders (Hershock, 2007, p. 4). After a review of the arguments of leading researchers in the field, Davis, Darling-Hammond, LaPointe, and Meyerson (2005) conclude, "the demands of the job have changed so that traditional methods of preparing administrators are no longer adequate to meet the leadership challenges posed by public schools" (p.3).

In addition to the traditional methods of principal preparation, several other dimensions of principal preparation programs have been critiqued in the literature. The recruiting practices and the monopoly of schools of education for the certification of principals have also come under increased criticism, as have the knowledge base and the instructional practices of educational leadership programs (Levine, 2005). Childress, Elmore and Grossman (2005) suggest that the very notion of school leadership needs to be re-examined and new strategic management knowledge created for the unique setting of public education.

Schall (1995) recommends that public administration programs need to teach students to

develop better reflective practices grounded in their experience (p. 22). As Heifetz and Linsky (2004) and Helsing, Howell, Kegan, and Lahey (2008) suggest the same might be said of educational administration today. Darling Hammond et al. (2007) believe that the traditional teaching methods in leadership courses fall short of preparing students for the complex realities of leadership in organizations (Heifetz et al., 1989). As a result of their research, Davis et al. (2005) conclude "there is therefore the need to create real and simulated leadership experiences for participants in preparation programs who would otherwise lack the experiential base" (p. 9).

Childress, Elmore and Grossman (2005) claim educational leaders are not trained in pre-service or in-service programs to do the day-to-day management demanded by the accountability movement: "most importantly, accountability presupposes performance will improve by continuously investing in professional development. Few, if any, school districts have a coherent human resource investment strategy, or even know what it means to have one" (p.4). While Childress et al. acknowledge some of the responses being implemented, they believe that these efforts are inadequate and lack "the intellectual resources that business managers take for granted" (p. 5). The authors claim this lack of knowledge is the result of poor incentives in schools of education to develop this literature and call for partnerships to bring together the best of thinking from education, policy and management.

2.1.1   Responses to the call for reform

Attempts to respond to the call for reforms in the educational leadership programs have been varied over the last twenty years (Browne-Ferrigno, 2003; Darling-Hammond, LaPointe, Meyerson, Orr, et al., 2007; Iriti & Bickel, 2005; Jackson & Kelley, 2002; Levine, 2005). One response has been the development of standards for educational administration.   Davis et al.

(2005) in their review of the literature on principal preparation for the Stanford *School Leadership Study* found that there is a general agreement between programs on standards and guidelines for successful principal preparation. The work of the Interstate School Leadership Licensure Consortium (ISLLC) has led to 41 states adopting its standards for educational administrators (or a close variation) (Orr, 2006).

Another response to the critiques has been a growing body of research on exemplary programs demonstrating innovative strategies (e.g., Browne-Ferrigno, 2003; Darling-Hammond, LaPointe, Meyerson, Orr, 2007; Iriti & Bickel, 2005; Jackson & Kelley, 2002; Levine, 2005;). These studies share many common structural and instructional recommendations for successful programs such as the role of reflection, the integration of theory and practice, and field-based experiences.

Levine (2005), in his study on the pre-service and in-service training of educational leaders, points to the practices at England's National College of School Leaders as a model to emulate. He describes a curriculum that uses

> active modes of learning, emphasizing problem solving and experiential and field-based learning. Coaching, mentoring, on-the-job learning, continuing assessment, 360-degree feedback, self-assessment, portfolios, cohort groups, peer learning, simulations, and technology-mediated instruction, along with more traditional methods of education. (p. 55)

Jackson and Kelley's (2002) review of exceptional programs found that in addition to strategies such as cohorts, problem-based learning, field experience, collaborative partnership and technology use, all programs had a clear vision to guide its decision making and "opportunities to connect to the knowledge base through carefully designed field experiences

integrated into the academic program" (p. 1).

According to Zellner, Jinkins, Gideon, Doughty, and McNamara's (2002) study of program participants and university faculty, principal preparation programs need to emphasize:

- The importance of reflection on leadership practice

- The role of mentor networks

- The link between theory and practice

- The importance of prior leadership experience.

The role of reflection, the integration of theory and practice, and field-based experiences are among the strategies that appear commonly in the best practices research. Of particular interest to this paper is the theoretical grounding of these recommendations. Most of the research I have read does not explicitly address the theories supporting these practices. If a conceptual framework is mentioned, it is broadly defined as adult learning theory (e.g., Orr, 2006). When adult learning theory is specifically referenced, Kolb's work on experiential education is often the cited theory (e.g., Kolb, Boyatzis, & Mainemelis, 2000).

2.1.2 Adult learning and development

The relationship between adult learning theory and the strategies that appear commonly in the best practices research raises some questions. Davis et al. (2005) found successful programs are

> framed around principles of adult learning theory. The learning activities provide a scaffold on which new self-directed knowledge is constructed, foster deep self-reflection, link past experiences with newly acquired knowledge, are problem- rather than subject- centered, and offer multiple venues for applying new knowledge in practical settings. (p. 8)

23

Likewise, Orr (2006) found in her research that a successful program "maximizes learning, learning transfer and *leadership identity formation*" (p. 17; italics mine). Davis' and Orr's description of the learning activities point out that these practices offer more than skill attainment. They offer an opportunity to construct a new way of knowing one's self and how one makes meaning of one's experience.

Underlying these recommendations is an approach to learning and often unexamined expectations about the learner. More specifically, these practices seem to be more about demanding a change in the way aspiring principals see or know the world than about skills development. These practices demand changes that are epistemological in nature--a change in ways of knowing (i.e. using experience to integrate theory and practice, or learning in relationships through cohorts) and ways of constructing the self (i.e., as a self directed learner able to negotiate feedback from multiple levels of an organization).

Browne-Ferrigno and Shoho (2002) argue that "leadership preparation fundamentally is about transformation" (p. 20). Personal purpose and vision are examples they offer for the seeds of this transformation. In another article Browne-Ferrigno (2003) more clearly defines this transformation as a shift in role-identity from teacher to principal, one of four themes in practitioners' growth into principals. Unfortunately these authors say little about the theoretical frameworks that might inform current principal preparation programs or that might help in designing new courses that support this transformation.

The distinction between learning as knowledge acquisition and learning as growth of more complex ways of constructing the self and reality is sometimes referred to as the difference between informational and transformational learning (Cook-Greuter, 2004; Drago-Severson, 2004a; Kegan, 2000; Mezirow, 2000). Orr (2006) points to this distinction between learning and

development and the potential synergy for principal preparation, "When adult learning theory was connected to leadership development, field experiences became developmental, with infused reflective practices that augmented the learning" (p. 2). If developmental or transformational growth is one of the demands of successful principal programs make on aspiring principals, the lack of adult developmental theory to ground the recommended practices found in the literature is problematic.

The notion of transformation and the (limited) role of adult learning theory to inform principal preparation programs brings up a question asked of adult learning theorists by developmental psychologist Robert Kegan (2000): "What form transforms?" Kegan (1982, 1994) suggests that adult learning theory focuses on informational change and that even in its specialized emphasis on transformational learning does not adequately answer the question of what transforms. He contends that adult development theory answers this question of transformation by pointing to the meaning-making structures that underlie cognitive, affective, and interpersonal processes.

Kegan (2001) differentiates between adult learning theory and adult development theory. Adult learning theory addresses the different ways adults learn while adult development theory focuses on how the ways adults know, or make meaning, change over the lifespan. This evolutionary process is sometimes called personal epistemology (Hofer & Pintrich, 2002).

Cook-Greuter (2004) traces the use of action logics- system of meaning making- and developmental theory in the field of organizational management. Cook-Greuter differentiates between lateral and vertical learning. Lateral learning, the objective of most training and development programs, is the type of learning that enriches a person's current meaning making system. Vertical learning on the other hand, "refers to supporting people to transform their

current way of making sense towards a broader perspective" (p. 277). Vertical learning allows people to see themselves, their world and their relationships through new eyes. She concludes that a developmental perspective offers "a framework for understanding and assessing the current capacity and the growth of individuals, teams, and organizations" (p. 280) because a developmental approach targets both lateral growth and vertical transformation.

While business and management education has seen the benefits of a developmental perspective (Fitzgerald & Berger, 2002; Garvey Berger, forthcoming; Kegan & Lahey, 2001, 2009; Rooke & Torbert, 2005), the thirty years of developmental research have resulted in a very small literature in educational leadership focused primarily on teacher development. This research will be described in a later section.

As mentioned earlier, the literature on successful preparation programs does not often describe the theoretical frameworks supporting the recommended strategies. The research reveals even more seldom the use of adult development theory that addresses these qualitatively different ways of knowing to support these practices (Drago-Severson, 1996). While the distinction between adult development and adult learning is one seldom made in the school leadership literature, its potential usefulness can be found by looking at one of conclusions of the *School Leadership Study* (2005). Davis et al. (2005) found that despite the growing knowledge about effective practices and national attention on standards for principals, curricular and theoretical gaps remain in principal preparation programs. Their review of the current standards for educational administration found several key leadership skills underemphasized, including the ability to "adapt their leadership to address the context-specific needs of teachers, students, and other stakeholders" (p. 6).

To contextualize leadership strategies requires a perspective-taking ability that allows a

leader such as a principal to reflect on his or her relationships with different stakeholders in such a way that the self is known as separate from the role that shapes these relationships (i.e., principal as community leader, principal as instructional leader, principal as authority figure). In other words, one would have to have developed an internal sense of values and self thus not depend on external sources or relationship to supply it. Developing this kind of perspective taking may involve more than acquiring new learning and skills but rather involve learning a qualitatively different way of knowing one's self and one's relationships (Helsing et al., 2008).

While Davis et al. (2005) recommend that the standards will need to be adjusted as more is learned about school leadership development, they do not offer any direction for gaining this new knowledge about leadership development or the kind of knowledge it involves. Nor do they offer what theoretical frames may help us to think more fully about these questions. Research on adult development suggests that constructive developmental theories offer an important lens to frame the successful practices described earlier but also to address the remaining gaps--such as leadership adaptability--in leadership education of aspiring principals.

This brief review of the principal preparation literature identified several gaps and questions of interest to the team at the University of Pittsburgh tasked with the redesign of principal preparation program: first, the apparent lack of reference to context-dependent adaptability of leadership in the educational leadership standards in light of the continually globalizing and interdependent world reflected in the growing multi-ethnic character of schools and communities; second, the vague theoretical foundation for some of the recommended practices of successful programs especially around the epistemological and developmental demands of the experiential practices; and third, the limited research on methodological effectiveness for leadership education practices in current programs.

2.2 THEORETICAL PERSPECTIVES

Two lines of inquiry come together to respond to the gaps and questions raised in the review of the research on successful practices and the call for the redesign of principal preparation program to meet the PDE standards. The first involves a view of adult development based on meaning making and its influence on perspective taking. This constructive developmental perspective is grounded in the early work of Kegan (1982, 1994) on adult development and its later application to professional development (Fitzgerald & Berger, 2002; Garvey Berger, 2004, forthcoming; Kegan, 2000; Kegan & Lahey, 2009). The second line of inquiry involves effective leadership education for changing global and local contexts of schools as organizations. This line of inquiry draws on the work of Ron Heifetz (1994; Heifetz, Grashow, & Linsky, 2009) on adaptive leadership and the accompanying case-in-point teaching methodology (Heifetz et al., 1989).

2.3 KEGAN'S THEORY OF HUMAN DEVELOPMENT

William Perry's (1968) work on the evolution of college students' construction of knowledge is often acknowledged as seminal to the field that seeks to understand human development in light of meaning-making. Over the last three decades, research about personal epistemology, or how human beings grow in their ways of knowing, has built on Perry's work and coalesced around the construct of self-authorship. One important theory in this field of adult development is Kegan's (1982, 1994) constructive developmental theory.

Kegan studied with Perry at Harvard in the 1970's and Perry's influence is reflected in Kegan's understanding of human being-ness as organizing of meaning. Initially published in his

book *The Evolving Self* (Kegan, 1982) and refined in *In Over Our Heads* (Kegan, 1994), Kegan called his theory constructive developmental because it draws on constructivism and developmentalism to account for the development of the individual's construction of meaning about the self and the world. Kegan was interested in the changes in meaning making structures that lead to transformation in *how* we know, not *what* we know, and how that construction grows in complexity over time.

Kegan's goal was to develop a psychology that bridged the more cognitive view of meaning making found in Piaget and Kohlberg with the existential and phenomenological view of meaning making that focuses the perspective of the self in the process of that activity. As Kegan (1982) writes:

> Were one to do so, the resulting psychology would be able to attend not only to the shape and sequence of our various consolidations of meaning, but to the universal processes themselves of constructing, defending, subordinating, surrendering, and reconstituting a meaning. (p. 12)

He described his theory as seeking to understand a person as both an activity and a thing, "an ever progressive motion engaged in giving itself new form" (p. 8).

Kegan was making a revolutionary leap. Building on the developmental theorists before him, and drawing on the neo-psychoanalytic and the existential-phenomenological schools, he sought to describe "what happens if the evolution of the activity of meaning is taken as the fundamental motion in personality" (p. 77). He wrote,

> My own research, clinical work, and theorizing amounts to an organized way of wondering whether Piaget's part [cognition, stages] does not compose a Trojan horse with an army inside as daring as psychoanalysis. Might that army, were it to be released,

claim as broad a field for its attentions (the whole person in development- dynamically, cognitively, behaviorally)? (p. 42)

Kegan (1980) positioned his framework in the neo-Piagetian tradition of developmental psychology by postulating that meaning making involves the evolving relationship between self and other or subject and object. From the psychoanalytic school, Kegan (1982) equated the evolution of meaning making with Erickson's and then Loevinger's concept of ego development. Highlighting the influence of cognitive theories and the shift away from the Freudian roots of ego development theory, Weathersby (1981) who studied ego development in college students with Perry, described ego as "that aspect of personality that keeps things together and assigns meaning to experience" (1981, p. 52). Loevinger developed the famous Washington Sentence Completion Test (WSCT) to measure individual's stage of ego development. Kegan (1994) acknowledged the similarities between his notion of the self constructed through the evolution of the subject object balance and Loevenger's view of ego development.

2.3.1   Subject-object relation

What Kegan considered to be invaluable contributions of Piaget to his work was two-fold:

> First, that each of his stages is plausibly the consequence of the given subject-object balance, or evolutionary truce; and second, that the process of movement is plausibly the evolutionary motion of differentiation (or emergence from embeddedness) and reintegration (relation to, rather than embedded in, the world). (1982, p. 39)

Kegan saw that the self-other relationship or the subject-object balance, the evolution of which Piaget had theorized was the context for development of object permanence, did not have to be limited to cognitive development. In addition, the shifts in balance, through a process of

accommodation and assimilation, consist in a change in complexity of perspective as what the meaning making process was subject to--for example, action sensation or reflexes in an infant-- becomes object. As the infant begins coordinating its action sensations, the meaning making now becomes subject to perceptions. The next stage or balance is ushered when perceptions become objects while the child's meaning-making is subject to the concrete. This is illustrated in the now-famous volume conservation demonstrations. These shifts in subject-object balance continue towards increasingly complex meaning-making.

Kegan (1982) argued that Piaget's notion of subject-object balance is a true "psyche-logic", the underlying logic to psychic development. Kegan offered a metatheory of development that placed meaning-making and its evolution as the center of personality development (1982, p. 264). To illustrate the centrality of the evolution of the subject-object relationship to the process of human development, he traced its manifestation in the human development theories of his contemporaries- Piaget, Kohlberg, Erickson, Loevinger, Maslow, and McClelland/Murray (p. 86).

For Kegan, objects are "those elements of our knowing… that we can manipulate, reflect on, coordinate and for which we can take responsibility" (Kegan, 1994, p. 32). In other words, we can be *objective* about them (Debold, 2002). Subjects, in contrast, are aspects of our knowing to which we are blind because they are part of the self; we are subject to them. Thus Kegan says "we have objects; we are subjects" (p. 32).

According to constructive developmental theory, human development is an increasingly complex shift in structures of knowing as what was subject—those perceptions we are subject to through which we create our world-- becomes object. As this shift occurs, our way of knowing is quantitatively transformed as what was the very system of our knowing, becomes an element of a

31

new, more complex, system of knowing (Kegan, 1994, p. 128). An example of this would be the shift that usually occurs in late adolescence from identifying with one's feelings to understanding the self as having feelings. This shift of emotions from subject to object allows for more reciprocal relationships as one can now control the influence of one's emotions and understand the legitimacy of other's emotions--and thus usher the move into what Kegan calls the *Interpersonal* or *Socialized* stage.

For Kegan (1982) this evolution of the subject-object relation is the naturally occurring evolution of our meaning making or our consciousness (p. 274). The periods of balance in subject-object relations are *evolutionary truces*. He traces the shift of our meaning making system from subject to object in five hierarchical stages or orders of consciousness connected by periods of transition or imbalance. The stages are *Impulsive, Imperial, Interpersonal, Institutional,* and *Interindividual*. Each stage subordinates the previous stage and thus grows in complexity. The last three stages represent the developmental space most adults live in. Other terms used to describe Kegan's adulthood stages are: *socialized, self-authored, self-transforming*. Trying to generalize across several developmental theories, McCauley, Drath, Palus, O'Connor, and Baker (2006) call those three stages: *dependent, independent, and inter-independent*.

A primary characteristic of the construction of meaning-making of the socialized order of mind is "the ability to experience the self in relationship to a given category rather than as the category itself" (Love & Guthrie, 1999, p. 70). This cross-categorical thinking allows for the development of abstractions and Kegan claims, the development of internal psychic life. It also allows for the socialized order of mind to enter into mutual relationships by subordinating one's interests to the interests of others without feeling a loss of self.

While socialized mind developed values by abstracting across categories--of right and wrong, for example—the self-authored order of mind is able to reflect across abstractions. Because of this cross-categorical construction (versus thinking), they can develop a system of values that coordinates between their values when they conflict—values about values. Kegan believes it is this construction of a system that is the writing, or authoring, of a self or an identity. This cross-categorical construction in the self-authored order of mind also allows one to stand outside and reflect on their relationships rather than be co-constructed by those relationships. Baxter Magolda (2001) has argued that self-authorship should be the goal of a college education.

The shift to the self-transforming order of mind occurs when the self-system is moved from subject to object. The self-transforming mind can now see the limits of its own self-system and seeks to build meaning in the interdependence of systems. With an appreciation for process, emergence and paradox, self-transforming minds have a hard time fitting into traditional organizations (Garvey Berger, forthcoming). According to Kegan (1994) only a very small portion of the population reaches this order of mind.

Garvey Berger (2009) illustrates Kegan's orders of consciousness as roles in a tribal village. Because the socialized mind constructs its world through its relationships, it can fulfill any role in the village that doesn't require independent leadership. The socialized mind will succeed as long as someone the individual trusts supports the individual's complex decision-making. The self-authored mind is a candidate for chief because he or she has developed an independent value system. However the assurance in the self-authored mind's own system may not make these individuals the greatest diplomat as these individuals have a hard time valuing other's meaning-making system. The self-transforming mind would be more like the elder in the

tribal village helping mediate between chiefs by offering a larger context for understanding conflicts.

Although Kegan (1982) coined the term *Self-authorship* as part of the *Institutional* stage when adults live out of an internally constructed meaning making system, it has become a field of research in its own right. As one's social relationships as the source of value generation and construction of self become object, adults begin to develop--to author--their own internal value system that helps to coordinate the sometimes conflicting demands of relationships. Several models have attempted to describe the shift of meaning making involved in the transition to self-authorship (Baxter Magolda, 2001; Belenky, 1997; King & Kitchener, 1994; McCauley et al., 2006). With variations, all the models follow the development, often in stages, of a learner's understanding about knowledge and its creation from certainty to an eventual contextualized and self-constructed perspective.

One critique of much of the work on epistemology is that the theory has been built on fairly homogeneous data. As the field of self-authorship grows, several authors have sought to address this gap in the research (e.g., Fuligni & Hardway, 2004; Hornak & Ortiz, 2004; Pizzolato, 2003; Regnerus & Elder, 2003; Torres & Baxter Magolda, 2004). The results of this recent research complicate the theory and offer opportunities for enriching it.

Kegan (1994) theorized that the subject-object relation evolves naturally--at different rates for different individuals but in a similar trajectory of increased complexity. Kegan does not believe more complex balances can be taught or learned (p.128). Baxter Magolda and others have contested this notion and, given the increasingly complex demands of the work world, have researched how an epistemological transition into self-authorship can be facilitated during the college years (Baxter Magolda & King, 2004). Kegan's (Kegan et al., 2001; Kegan & Lahey,

2001, 2009) more recent work has also examined how environmental context supports shifts in meaning making. An important component to the evolution of subject-object balance is the culture of embeddedness.

2.3.2 Culture of embeddedness

According to Kegan (1982), the culture of embeddedness, the environment the individual finds himself or herself in such as family, school, work, marriage, or social organization, plays a key role in the evolution of the epistemological process. The culture of embeddedness acts as a holding environment as the self, as it was understood, is lost and reconstructed during the periods of transition of subject-object balance. As such, it can facilitate or retard the movement between evolutionary truces through the epistemological demands it makes. Kegan argues that it is the role of the culture of embeddedness to support the current order of consciousness while challenging the individual to make meaning in a more complex way. This has significant implications for education in general and leadership development in particular and is one of the reasons I have chosen to focus on Kegan for my dissertation.

Culture of embeddedness also plays an important role in Kegan's response to critique of his theory. One critique of stage theories of development is the hierarchical nature of the stages. Although Kegan and others (e.g., Drago-Severson, 2004b; Garvey Berger, forthcoming) describe the model as offering stages as markings on a continuum of complexity, the apparent conclusion that greater complexity is better has raised many questions. Responding to his critics, Kegan argued that more complex is not inherently better but rather the more relevant consideration is how the current complexity fits the demands made by the culture of embeddedness on the individual. Kegan's response remains problematic, especially when some of his recent writings

35

argue for pre-requisite levels of complexity of meaning making for certain tasks and role, such as adaptive leadership (Helsing et al., 2008).

The role of the culture of embeddedness as holding environment can also be extended to the culture at large. Kegan in his second book, *In Over Our Heads* (1994), describes the parallel between the evolution of cultures from traditional to modern to postmodern and the development of individuals' orders of consciousness. Kegan considers the cultural demands made on adults' meaning making system by reviewing the literature of seven areas (parenting, partnering, work, gender differences, healing, learning, leadership). Kegan believes that, consistently across these fields, adults are expected to display a fourth order consciousness, a cross-categorical, self-authored, and systemic way of making meaning in order to function as experts say we should function.

The problem, as Kegan (1994) sees it, is that the data from the subject-object interviews, an instrument Kegan and his colleagues developed to determine one's orders of consciousness (and the four transitional sublevels between each order), shows that one-half to two-thirds of the adult population in North America has not reached the fourth order he suspects is necessary to function in a postmodern culture. Kegan points out that the data also shows that there is little relationship between orders of consciousness and levels of education; this is not about *what* one knows but *how* one knows and it doesn't seem like one can simply learn it in school. As the title of his book suggests, Kegan concludes that most adults today are "in over their heads."

This section has offered an introduction to Kegan's constructive developmental theory. The role of the subject-object relations in Kegan's understanding of human development was described as well as the role of the culture of embeddedness in supporting an evolution in

subject-object balance. The next section examines what Kegan's view of development as an epistemological process offers to conceptualize leadership education.

2.3.3   Kegan and leadership education

Hershock (2007) argues that due to increasing global interdependence, leadership in the 21st century will involve a shift to improvisation, values clarification and negotiated meaning making in increasingly complex systems. He suggests that the exercise of leadership in this new era requires not simply new knowledge but new ways of knowing. Others have echoed the idea that leadership in today's organizations requires not a different, but more complex way of being (Senge, Scharmer, Jaworski, & Flowers, 2004; Wagner & Kegan, 2006).

Kegan's constructive developmental theory offers a way to think about leadership education for the management of such organizations (including schools, as Hershock [2007] points out). Leadership that demands increasingly complex ways of understanding challenges requires leaders with increasingly complex ways of knowing which may be dependent on upward shifts in orders of consciousness (Helsing et al., 2008; Kegan, 1994). One question before university programs is whether leadership education- such as principal certificate programs- should be redesigned to help participants adapt to the new demands of leadership by supporting growth in their epistemological complexity.

As described earlier, adult learning theory (Cranton, 2006; Mezirow, 2000) differentiates between informative and transformative learning. Kegan (2000) suggests a parallel in the difference between informative and transformative learning and Piaget's description of assimilation and accommodation. He writes: "Informative learning involves a kind of leading in, or filling of the form. Trans-*form*-ative learning puts the form itself at risk of change (and not

37

just change but increased capacity)" (p.49). Both types of learning are important and necessary. The key, Kegan suggests, is one of timing: knowing when to give one more attention than the other. Cook-Greuter (2004) argues that a developmental perspective is more beneficial than traditional training and development programs that offer more lateral growth (or informative learning in Kegan's terms) than vertical (transformative learning).

McCauley et al. (2006) in a review of constructive developmental theories and leadership found that little work has been done on the intersections of these two fields. Most of the research that has been done has been on leadership effectiveness. The repeated calls for developmental theories to inform leadership reflect the potential for theories about how adults grow in the complexity of making sense of themselves and their world (p.634). If, as Kegan (2000), claims, "the subject-object relationship forms the cognate or core of an epistemology" (p. 53) and self-authorship provides a better fit to the demands placed on leaders in today's globalizing world (Helsing et al., 2008; McCauley et al., 2006), then leadership education programs need to bring a developmental perspective to the students and the curriculum (Cook-Greuter, 2004; Kegan, 1994).

2.3.4   A developmental perspective on leadership education

Kegan's theory and the differentiation between informative and transformative learning offer several implications for leadership education. In this section, I focus on two of these implications more closely. The first one is that leadership education should be designed to be both intentionally transformative and informative. Given the patterns in professional development reviewed by Drago-Severson (1996), leadership education that is not developmentally informed will be primarily informative and haphazardly transformative. In light of the research on

38

leadership and adult development, this seems not only to be a less than optimal scenario, it might even be a disservice to the students and to the organizations they will manage. A second implication is that building leadership education programs that are transformative requires an attention to the role of the culture of embeddedness—the kind of holding environment the program, the classroom, the curriculum, and the faculty provide for students with a variety of ways of knowing.

Kegan contributed to challenging the common notion that human beings cease to develop once they reach adulthood (sometime around or after college) and that this is worthy of our attention (Kegan & Lahey, 1984). Yet his theory is also complex enough to have had a difficult time gaining some applicable traction outside psychology (McCauley et al., 2006). Garvey Berger (forthcoming) suggests that perspective taking offers a simpler, more accessible way to think about subject-object relations and developmental stages. Her recent work has been focused on the translation of Kegan's theory (for non-psychologists) and its application for executive coaching (Fitzgerald & Berger, 2002; Garvey Berger, forthcoming). Reframing Kegan's orders of consciousness as perspectives and development as shifts in perspective taking is reminiscent of Mezirow's (2000) work on frames of reference in his transformational learning theory and offers a link to the research on transformative learning.

The subject-object relationship as a basis for transformation and reframing the orders of consciousness as modes of perspective-taking offer two lines of inquiry for leadership education: the notion of growth edges in perspective-taking and the role of holding environments in supporting epistemological growth (Garvey Berger, forthcoming). The first idea, that there are edges to our understanding, suggests that there are ways of knowing we cannot access as a result of our current subject-object balance. Knowing that there are developmentally-dictated edges of

our knowing can help set more hospitable learning spaces with clearer objectives. Instructors can be attentive to the epistemological demands and assumptions their classes make on students. For example, students who cannot analyze and take responsibility for their own leadership from an inter-organizational perspective--as opposed to an interpersonal or institutional perspective (Wells, 1985)--may simply demonstrate a limitation of their meaning-making system.

Instructors can also appreciate that broadening one's perspective is a complex and painful task that involves confusion and loss as one's familiar sense of self is surrendered and reconstructed. Garvey Berger's (2004) research on growth edges elicited a variety of experiences from adults who are questioned about the edges of their understanding of how they know have. Unlike Perry (1968) who found the transformative process of coming to a different way of knowing to be traumatic, Garvey Berger found some adults to embrace the process while others reject it. Most experience a sense of bewilderment and a sudden inability to answer questions about their own understanding. Garvey Berger suggests three steps to teaching for epistemological transformation:

- Helping students recognize the edge;

- Being good company at the edge; and

- Helping to build a firm ground in a new place. (Garvey Berger, 2004, p. 346)

Garvey Berger concludes that teaching for transformation is much more complex than content education, and her recommendations point to a second line of inquiry: the importance of the holding environment in developmentally informed leadership education. Garvey Berger's findings about the variety and complexity of teaching at the growing edge may explain the difficulty with developing spaces that push our growing edges and foster shifts in perspective taking in leadership programs.

2.3.5   Leadership education as a holding environment for transformation

Grabinsky (2005) recommends that every physical environment be seen for its potential as a learning environment for adults. A leadership education program, such as principal certification, can serve as a holding environment to support growth in meaning-making. According to Popp and Portnow (2001), holding environments need to fulfill three functions in order to support development: holding on, letting go, and maintaining. To effectively provide an environment for transformation, the environment has to support and acknowledge a person's current perspective taking level, while challenging consistently towards a more complex way of seeing. Finally the holding environment has to stick around long enough to provide a space for transition.

Several aspects of a leadership program contribute to the holding environment provided for students including the curriculum and the instructor(s). Kegan and Lahey's (2001, 2009) recent work has focused on curricular work to encourage developmental shifts through attempts to increase the learner's perspective- taking ability. The Immunity to Change exercises seek to bring to consciousness—to make object—personal dynamics, commitments, and unacknowledged assumptions that operate outside one's perspective and often provide resistance to change efforts. Through changing the learner's perspective on specific commitments or values, the reflective exercise can provide an experience of shifts in perspectives—not just what we know but how we know the specific situation—and shifts in subject-object relation.

Unfortunately like much of the developmentally informed research in leadership, the research on this curricular model remains slim and anecdotal. The role of reflection in transformation has been theorized and documented (e.g., Garvey Berger, 2004; Kolb et al., 2000; Mezirow, 2000; Schön, 1983). As mentioned earlier, Garvey Berger (2004) in her work with teachers suggests that the most fertile ground for transformation is reflection at the "edge of our

understanding" (p. 352). Understanding that there are limitations of individuals' perspective-taking can help one push and stretch one's self. It can also help instructors to differentiate instruction. Drago-Severson's (1996) work on professional development in schools demonstrates that most programs offered to teachers in addition to being primarily informational in nature, do not take into account the "hidden diversity" of self-complexity. Principal preparation programs that do not attend to the participants' diverse ways of knowing in their curriculum and design risk alienating students through unacknowledged epistemological demands.

Peer relationships also contribute to the holding environment. The beneficial roles of cohorts and communities of practice in leadership programs have been demonstrated (Darling-Hammond, LaPointe, Meyerson, & Orr, 2007). Although not specifically linked to leadership education, Kegan, Broderick, Drago-Severson, Helsing, Popp, and Portnow's (2001) study of adult learners in three different Adult Basic Education (ABE)/ English for Speakers of Other Languages (ESOL) programs offers evidence for the important role of cohorts in supporting transformation. After a year of observation and interviews, Kegan and his team concluded that adults' ways of knowing can change significantly even over a short period of time. Cohorts were a key element to the changes participants experienced. In addition students in similar developmental levels at different sites showed similar understanding of the role of the cohorts in supporting their learning. This finding lends support to the notion that the ways leaders and followers construct their leadership and followership is influenced by their developmental level (Kegan & Lahey, 1984). The authors also found that the range of developmental levels in the non-English speaking cohort was "virtually identical" to the range showed by an English cohort in a previous study.

Echoing other research (Harris, 2002; Martynowych, 2006; McCallum, 2008), Kegan et al. (2001) found that the developmental level of program participants influenced their choices, preferences and experience of the programs. Kegan (1994) recommends that a holding environment provide a bridge that is anchored in both sides of the developmental chasm. Cohorts, when used as instructional vehicles, can offer a space with developmental diversity to provide this kind of anchoring. In leadership education where the subject directly involves relationships and groups, cohorts provide an instructional space that recognizes and supports the epistemological diversity present in the participants and the multi-dimensional nature of the transition- the cognitive, intrapersonal and interpersonal.

In addition to cohorts, a developmental perspective for leadership education of aspiring principals explains how some of the current recommendations in the literature fulfill the supportive and challenging functions of a transformational holding environment. The call to integrate students' experience into the curriculum through field experiences and simulations affirms students' current stage of perspective taking. Mentoring, readings, and feedback on reflective exercises can challenge students the current perspective or way of knowing.

Leadership programs are faced with the need to prepare leaders to be effective in schools and organizations caught in the midst of rapid change. Constructive developmental theory suggests that one approach to meet this need is designing programs that support shifts towards more complex perspective taking. A review of Kegan's work suggests that the curriculum should attend to the informative and transformative dimensions of learning while the components of the program should be designed to create a coherent holding environment for discovering new ways of knowing.

Kegan's constructive developmental theory places the subject-object relation at the center of human development. Subject-object relations shape how we know--construct and make meaning making of--our self and our world. In other words, the subject-object relation shapes the kind of leader we are (Kegan & Lahey, 1984). Today's leadership literature calls for leaders with more adaptive and complex ways of seeing the world. A developmental perspective on leadership education offers curricular suggestions to build learning environments to help leaders develop the kind of perspective taking needed to lead effectively in today's organizations. By attending to the holding environment created by leadership education experiences, leadership educators can create classes that offer informative and transformative learning and opportunities for developing more complex ways of meaning making.

2.3.6   Developmental research in education

As was noted earlier, in thirty years of developmental research only a small percentage of research has targeted educational leadership. The studies that have been conducted in this area have primarily focused on teacher development. This section offers an overview of this research.

In a four year ethnographic study, Drago-Severson (1997) researched the opportunities principals have to increase teacher effectiveness and transform school cultures when adapting a developmental perspective to their leadership. More recently Drago-Severson (2004a) has begun to investigate the links to professional development for principals to be sustained as adult educators.

Garvey Berger (2002) and Hammerman (2002) conducted separate research on teacher development and adult development. Berger looked at how new teachers' developmentally influenced self-complexity relates to their ability to resist the social influences of a new school as

well as the ability to transfer the learning from their preparation programs. While Hammerman researched how math teacher's developmental stages of meaning making influenced their ability to translate a professional development institute into practice in their classrooms. Both found Kegan's constructive developmental theory offered an explanation for the disparity of teacher improvement.

Hershock (2007) believes that the ability to build cooperation across differences is one of the key characteristics of the leadership needed in a globalizing world. Some of the later developmental stages described in Kegan's (1994) theory seem crucial to developing this type of leadership (Helsing et al., 2008). Individuals who reach the self-transforming stage of development "have learned the limits of their own inner system-- and the limits of having an inner system in general. Instead of viewing others as people with separate and different inner systems, those with self-transformational minds see across inner systems to look at the similarities that are hidden inside what used to look like differences" (Garvey Berger, 2005, p. 22). Garvey Berger's research with self-transformational individuals shows that reaching this order of consciousness may make the experience of leading today more effective: "the thing that matters the most is the negotiation among different viewpoints, the finding of common ground, and the recognition that all viewpoints express something important about the person who holds them" (p. 25).

Hasagewa (2004) looked at how teachers' developmental stage affected the way they experienced the shift into teacher leader role. She found the higher the complexity of meaning-making, the easier the experience of the shift into more leadership responsibilities was for the teacher. The shift from teacher to administrator is an even more complex shift in role than the shift from teacher to teacher leader in part due the scope for what one has responsibility, and we

can hypothesize that the epistemological development plays an equally if not greater role in the experience and effectiveness of the new role.

Collay and Cooper (2008) used the adult developmental lens of self-authorship (Baxter Magolda & King, 2004) to examine two teacher leadership graduate programs with a focus on transformational learning. In a study that uses adult development theory to characterize adult learning, they found that transformational curriculum did support the development of self-authorship in women teachers. The authors conclude that self-authorship is necessary for effective school leadership in today's complex world.

Kegan and Lahey (2001, 2009) have focused their recent research how a developmental perspective helps explain personal and organizational resistance to change. They have designed an exercise to illustrate the covert impact of our meaning-making and begin to facilitate shifts this dimension. Wagner and Kegan (2006) apply this methodology to systemic and individual change processes in schools. More recently, Helsing et al. (2008) have argued for a developmental perspective for educators' professional development.

As mentioned earlier adult development theory offers a lens that has been more readily embraced and recognized for its business benefits in the development of executive leadership. This brief review of the research shows the use of one particular strand of adult development for teacher development. Kegan's (1982, 1994) constructive developmental theory offers a way to think about how shifts in ways of knowing or complexity of mind (Garvey Berger, forthcoming) can contribute to teacher development programs but has remained virtually untapped as a resource for developing more effective principal preparation programs.

2.4   ADAPTIVE LEADERSHIP

The second line of inquiry influencing this project is experiential leadership education. The theoretical framework informing this line of inquiry is Heifetz's adaptive leadership and the accompanying case-in-point methodology. The call for more experiential ways of preparing aspiring principals and for research clarifying the effectiveness of leadership strategies offers a great context to pursue this inquiry.

Heifetz and his colleagues at Harvard's Kennedy School of Government have over the last 25 years developed and refined the theory of adaptive leadership (Cojocar, 2008). In contrast to the other leadership models (behavioral or trait, situational, and contingency), Heifetz describes leadership as an activity, a process of mobilizing group resources to tackle tough problems (1994; Heifetz, et al., 2009; Heifetz & Linsky, 2002; Heifetz, Sinder, Jones, Hodge, & Rowley, 1989). The role of leadership is to move individuals, groups, and organizations through the adaptive problems for which no technical solutions exist and thus require a change of values and beliefs - an adaptation to new environmental variables. Adaptive leadership is less about what the leader does to solve a problem on behalf of an organization and more about how the leader works with people in the organization to help them find what old ways of being an organization it must discard and what new ways of being it must develop to adapt to the new demands of its changing environment. For Heifetz the value by which leadership should be evaluated is the progress on adaptive problems relating to the common good of the organization or individuals faced by the problem.

Adaptive leadership has found its application in many disciplines outside of political science—business (Heifetz & Linsky, 2002), higher education administration (Randall & Coakley, 2007), healthcare (von Donop, 2008), philanthropy (Heifetz, Kania, & Kramer, 2009),

environmental policy (Burke, 2007), youth development (Heifetz, 2006), multicultural issues (Leigh, 2002) and recently in the US Army's leadership repertoire (Army, 2006).

Although it could be argued that adaptive leadership with its emphasis on helping followers face and tackle the reality of difficult problems could be considered a form of transformational leadership (or ethical leadership as Northouse [2004] does), Heifetz (2009) disagrees because of the evolutionary dimension of adaptive leadership. Adaptive leadership differs from transformational leadership because the conservative dimension is about discovering what needs to be kept and what needs to be discarded. As Heifetz says, "Transformation connotes something completely new rather than grafting an innovation onto our best history" (Gary, 2005, p. 46).

Beyond containing aspects from several strands of leadership theory, adaptive leadership differs from other leadership theories and does not fit easily into the usual leadership taxonomies (e.g., Northouse, 2004) *because it draws two conceptual distinctions*. The first distinction involves problem-definition and the difference between adaptive and technical challenges. The second distinction involves leadership and authority. Both distinctions offer valuable lenses for aspiring principals who are changing their primary authority relations from youth to adults in an organizational context increasingly faced with resistant and ill-defined problems.

Technical problems are problems for which the solution is currently available. Adaptive problems are problems that require an adaptation— a change of values and beliefs. As Heifetz says, "In adaptive problems, people themselves are the problem; the solution therefore, lies within them. If they don't change their ways, then you have no solution – all you have is proposal" (Nelson, 2006, p. 3). The first step of leadership is helping followers identify the gaps

between perception and reality, between the values they hold and the values they need to hold (Heifetz, 1994; Heifetz, et al., 2009).

Adaptive work on a personal level is not easy but on an organizational level, it becomes complex and even dangerous. Technical solutions are much simpler and safer for leaders, albeit often ineffective when applied to adaptive problems. By differentiating between technical and adaptive work, Heifetz frames leadership as an activity in relationship to certain types of problems (Riggio, 2008). He also offers a diagnostic lens by suggesting that most leadership failures result from seeking technical solutions to adaptive problems. The role of high stakes testing in addressing the achievement gap in our schools provides a compelling example of a technical solution to an adaptive challenge. The achievement gap is an adaptive problem because it reflects a value we hold about education in this country while testing is a technical task that does not engage in value exploration or change.

The second distinction adaptive leadership makes is between two overlapping, and often-confused, concepts in the leadership literature: leadership and authority. By describing leadership as an activity in a social system, Heifetz (1994) seeks to clarify the conflation of leadership and authority so evident in everyday language (e.g., we often speak of leaders as those in high organizational positions, positions of power and influence). This confusion, Heifetz argues, constrains our understanding and study of leadership.

By bringing a social systems perspective from zoology and anthropology, Heifetz (1994) describes authority as a characteristic of human systems. From primate groups to human families and governments, the role of authority is the maintenance of equilibrium through acts that bring direction, protection, and orientation to role and place, help control conflict, and maintain norms (Flower, 1995). Defining authority as "deferred power to perform a service" (Heifetz, 1994, p.

57) points to two dynamics at work. First, authority is given and thus can also be withdrawn. Second, there is an exchange between leaders and followers and failure to meet the terms of this often implicit contract can lead to disastrous consequences for the leaders (Heifetz, 1994).

The functional and transactional view of authority creates a paradox. It is easier to lead with authority but if you have authority, you are part of the establishment and that makes it much harder to do adaptive change (Finley, 1997). Heifetz (1994) notes: "having authority brings not only resources to bear but also serious constraints on the exercise of leadership" (p. 49). Living the paradox and leading while challenging followers' expectation of authority is what Heifetz calls walking the razor's edge and encapsulates one of the primary challenges of leadership with authority.

The systemic lens of adaptive leadership argues that leadership can be exercised from a variety of points in the organization and not simply from those in positions of authority. The distinctions adaptive leadership makes between authority and leadership offers an analysis of leading change efforts depending on whether one leads with or without formal authority. One can identify the unique challenges of each position such as the organizational valence for those in authority to apply technical solutions to adaptive challenges or the organizational defense mechanisms against leaders with informal authority (Finley, 1997).

Heifetz's attention to problem definition and to dynamics of leading with and without authority offers a conceptual lens to analyze the practice of leadership in organizational challenges. One unique aspect of Heifetz's project was developing a theory that could not only help with analysis but also contribute to shaping and developing future leaders. The next section examines adaptive leadership in the context of leadership education.

2.4.1 Case-in-point teaching

Over the last 25 years, Heifetz and his colleagues have developed a successful methodology called case-in-point to teach adaptive leadership to public servants (Heifetz, et al., 2009) and educational leaders (Powell, 1997). Case-in-point teaching is the methodology used during the Leadership Institute of the LIFTS program at the University of Pittsburgh.

The uniqueness of case-in-point is found in the parallel teaching about adaptive leadership and the opportunity for students to exercise their capacity to lead adaptively with and without authority. This takes place in the large class and in the small consultation groups. Each venue is developed as a studio-laboratory where the group as a social system is experienced and studied. Parks (2005), who completed a five-year study of case-in-point teaching for the Lilly Foundation, wrote a book to describe the methodology. In it she says,

> In contrast to teaching as telling, this more interactive approach fosters a discovery process in which essential features of adaptive leadership and what it requires appear as observations, interpretations, concepts, images, metaphors, and stories that are woven into a case-in-point teaching process. Theory emerges from reflection on practice and an analytical framework comes into form, as repeatedly there is an encounter between the students' experience and the idea. (p. 71)

Case-in-point has its roots in a number of traditions. The studio-laboratories draw on the long history of experiential and progressive education (Dewey, 1938). The use of the class as a system to practice the exercise of leadership and to experiment with organizational interventions is inspired in part by the work of Bion (1961) and the Tavistock Institute for Human Relations in Great Britain. Martynowych (2006) traces the links between case-in-point and the work of human relations and self-analytic groups from the work of Harvard researchers in the 60's and

70's. The small consultation groups are based on the case study method developed at the Harvard Business School. Heifetz also draws on the wisdom literatures as he compares the learning to the Jesuits' contemplation in action (Parks, 2005). Heifetz's own musical training emerges both in the metaphors used in teaching but also in some of the evening sessions where students learn about presence in the midst of musical improvisation.

Case-in-point builds a bridge between the classroom and students' professional world. In the small group (and sometimes in large groups) students present personal leadership cases from their own work lives for consultation. Students exercise leadership and practice authority through the consultative process using the adaptive leadership framework *and* viewing the group in the moment as a living organization in a parallel process to the case presented. Case in point teaching flows from Heifetz's beliefs that leadership is an activity and that individuals can grow in their capacity to exercise this activity.

Early research into the effectiveness of the case-in-point methodology found that of 165 Harvard students surveyed more than half found the class to be the "most useful" or " much more useful" that other Harvard courses and offered similar responses in regards to other leadership courses (Heifetz et al., 1989; Parks, 2005). Parks (2005) in her book, *Leadership Can Be Taught*, summarizes case-in-point saying:

> This approach provides both a response to today's hungers for leadership and remarkably effective teaching methodology. As a sustained experiment in rethinking leadership and how to learn it, this approach can spur the imagination of those who practice leadership and especially those who dare to teach leadership. (p. 12)

Heifetz's theory of adaptive leadership addresses the importance of context-specific leadership, distributed leadership, and leadership through change reflected in the standards and

best practices of educational leadership literature. Case-in-point teaching offers many of the instructional characteristics also recommended by the best practices literature of principal preparation (Darling-Hammond et al., 2007; Levine, 2005) and the call for new experiential teaching methods for leadership (Davis, et al., 2005) and thus offers an appropriate context to research the impact of developmental differences in perspective taking on principal preparation.

2.4.2 Perspective-taking and adaptive leadership

Getting on the balcony may be the phrase students remember most from Heifetz's classes. It captures the discipline of shifting your perspective from the dance floor where the action is to a metaphorical balcony above the dance floor from which one gains a broader and deeper perspective on the action. Heifetz's definition of leadership as an activity in relationship to systemic problems involving conflicting values, habits, and by extension perspectives, makes getting on the balcony a crucial competency for adaptive leaders.

Case-in-point teaching introduces students to adaptive leadership and seeks to increase their capacity for its practice. Heifetz (1994) describes his teaching as an intervention "in people's lives and social systems with the aim of increasing their adaptive capacity—their ability to clarify values and make progress on the problems those values define" (p. 5). Parks (2005) describes five competencies case-in-point teaching seeks to develop. They are analyze, intervene, communicate, pause-reflect-pace and take the heat and hold steady. Developing these competencies requires several types of learning: informational (e.g., understanding role of allies), interpersonal (e.g., giving the work back), intrapersonal (e.g., managing hunger), and transformational (e.g., from individual to systems thinking). Parks' description of case-in-point as encouraging "a more effective deployment of self" (p. 236) reflects the belief that many of the

necessary capacities for leadership today challenge us to reconstruct our ways of thinking about our selves, our organizations and our world (Dalmiya, 2007; Kegan, 1994; Senge, 1990).

As was described earlier, the evolution of the ways adults make meaning of themselves and their world is the focus of Kegan's (1982, 1994) constructive developmental theory. Garvey Berger calls self-complexity the "qualitatively different ways of understanding the complex world around us" (Garvey Berger, forthcoming, p. 3). Other models exist to describe the evolution of the complexity of the way we construct our selves and our world--Rooke and Torbert (2005) call it "action logic" and Weick (1995) calls it "sense-making." All describe a similar evolution in our ability to make meaning. When applied to leadership, Garvey Berger remarks "Leaders with different forms of mind will have different capacities to take the perspectives of others, to be self-directed, to generate and modify systems, to manage conflict and to deal with paradox" (p. 4).

Some leadership theories describe the influence of different leadership styles on group performance (e.g., Hershey and Blanchard). Garvey Berger (2009) argues that perspective taking is not so much related to style but to categorically different ways of knowing. Kegan (1994) describes these different ways of knowing as evolutionary stages that most adults are moving through although the speed of development appears fairly individualistic and in consequence the resulting destination varies.

As mentioned above, there is a tendency to conclude that the higher, more complex stages are inherently better. Garvey Berger (2009) explains that this is a misguided assumption. Instead the important factor is the match between a person's order of mind and the demands placed on them by the role they play at home or at work. For some organizational roles, a more complex perspective taking is very important, while other roles, often with clearer tasks, may not

require the same self-complexity. Berger is also quick to point out that higher self-complexity does not equate with effectiveness or success.

Bringing a developmental lens to adaptive leadership raises many questions about the epistemological demands of adaptive leadership and case-in-point teaching. In particular, if self-complexity describes the meaning making--or perspective-taking--dimension of being human that influences how we construct ourselves and our relationships to the world around us, it seems, at least initially, that some of the practices of adaptive leadership require a perspective beyond the socialized self order of consciousness (Kegan, 1994).

Two adaptive leadership practices illustrate the more complex perspective-taking demands (those more associated with self-authorship). *Getting on the balcony* is Heifetz's phrase for the practice of reflection in action (Schön, 1983) or the ability to reflect on a situation in the moment to discover patterns of interaction. This shift in thinking, often called systems thinking, was made popular for organizational leadership by Senge's *The Fifth Discipline* (1990). It is the capacity to move between a parts perspective to a whole perspective to see the web of relationship and interdependence of the parts (Wagner & Kegan, 2006). System thinking represents a different, more complex way of knowing an organization and it necessitates a different perspective-taking ability. Getting on the balcony is central to adaptive leadership because adaptive problems are often problems that require a systemic diagnosis (Heifetz, 1994).

The practice of *distinguishing role from self,* another adaptive leadership practice, also seems to demand a more complex self-authored perspective. To distinguish role from self requires that the leader understand people's reactions to himself or herself as reactions to the organizational position or issue he or she represent, and not as reactions to who he or she is as a person--however personal the responses may feel (Heifetz & Linsky, 2002). A leader with a

socialized perspective constructs the self in and through relationships. The idea that there could be a self to author values that differed from the values of the important relationships or institution the self is part of is hard to imagine for a person at this stage. Garvey Berger (2009) describing the socialized form of mind says, "There is no sense of what *I* want outside of others' expectations or societal roles….He cannot gain enough distance from the voices of others to hear his own voice" (p. 13). Therefore it becomes much more difficult for leaders with a socialized perspective to interpret people's reaction as data about the system and the adaptive change they are leading.

A self-authored perspective on the other hand can more easily negotiate between conflicting voices and perspectives because they have developed an internal value system from which to reflect and analyze a situation (Kegan & Lahey, 1984). This perspective can make it easier to see that a reaction to you, especially an overt attack or critique, is strategic information about the system you lead and feedback about the initiatives you are encouraging.

If, as the developmental lens suggests, there are different ways of knowing, and adaptive leadership demands a more complex order of mind, can one practice adaptive leadership from less complex orders of mind? Recent research points to potential limitations. Silver (2001) in her research on learning in experiential conferences discovered that participants' orders of mind framed their conference learning. Socialized minds learned about social/relational aspects of themselves while self-authored minds learned about roles and dynamics of systems. The perspective taking they had access to shaped the content of their learning. Garvey Berger (2009) complicates the situation when while considering the practice of *getting on the balcony*, she writes, "What Heifetz does not tell you though is that there is a variety of different 'balconies'

depending on your form of mind. Developmental theories describe different balconies which each offer a different perspective" (p. 8).

Parks (2005) seems to say that, along with learning, perspective taking influences the ability to diagnose problems and therefore the ability to lead adaptively. She writes, "leadership for today's world requires enlarging one's capacity to see the whole board, as in a chess match—to see the complex, often volatile interdependence among multiple systems that constitute the new commons" (p. 3). The question of whether less complex ways of knowing influence a leader's effectiveness in practicing adaptive leadership is one edge of developmental research today.

Although a developmental perspective on leadership effectiveness may be the object of future research, recent studies (Harris, 2002; Martynowych, 2006; McCallum, 2008) support Kegan's (1994) idea that the experience of leading in a setting demanding a greater level of self-complexity can be more difficult and disorienting for socialized person. We can find ourselves *In Over Our Heads*. Hasagewa (2004) studied the role shift in teacher leaders trained in a diversity literacy curriculum. The experience of leading change with the informal authority typically associated with the role of teacher-leader was much more anxiety producing and difficult for leaders with a socialized order of mind than those with a self-authored one.

As Garvey Berger (in press) points out, the links between perspective taking, meaning making and leadership offers many theoretical and practical problems to pursue. Parks (2005) captures the intersection of these ideas when she writes,

> A more complex, artful, and demanding practice of leadership comes into view when one
> is able to see the interdependent features of a whole field of action as the nature of the
> reality in which people must act. To know that it is possible to intervene productively

57

even though one cannot fully control the outcome is to discover a new relationship between self and the world. (p. 70)

If Parks is correct then a developmental lens also offers many possibilities for leadership educators to facilitate transformative learning spaces to equip leaders for the increasingly complex realities in schools and organizations.

Adaptive leadership offers a unique theory to understand and manage organizational change in schools. Heifetz and his colleagues have developed a powerful methodology to increase students' leadership capacities that encompasses many of the instructional recommendations found in the principal preparation literature. Although Heifetz does not acknowledge the possibility, developmental perspective taking may influence one's effectiveness in learning and exercising adaptive leadership and thus indirectly raise questions for principal preparation programs. This research project hopes to explore some of these questions further.

3.0   CHAPTER THREE: METHODOLOGY AND METHODS

3.1   METHODOLOGY

As I have described in the first chapter, this study holds a lot of meaning for me. The opportunity to study experiential leadership education was a gift. To study the learning of students I was teaching added a layer of richness and challenges for the methodology of this project I initially did not consider. My original intent was to use grounded theory (Glaser & Strauss, 1968) to uncover the LIFTS students' learning and experience of a short-term intensive experiential leadership class.

As I considered playing the role of instructor of the very experience I intended to study, I encountered several potential problems. The first was the Institutional Review Board's (IRB) concern about the potential coercive influence of the dual role I was to play. This was addressed by telling students of the voluntary nature of the study and waiting until after grades were due to interview students about their learning. The second concern revolved around my fear that the students would use the post institute interview to try to address unresolved conflict from the class--using the interview as a chance for a one-on-one debrief with the instructor. Surprisingly this was not my experience of the interviews. The month(s)-long delay between the end of class and the interviews and the pending start of the school year for these teachers may have created a distancing and distraction.

But as I started reading the transcription of the interviews, I recognized that it would be very hard, if not impossible, for me to allow the data to speak and let the themes emerge as grounded theory intends. Not only was I too close to the data, I was in the data. Several students explained how having me as interviewer made it easier for them to talk about the class because of our common experience. My experience of the class, my interpretations of their learning as the instructor and my interpretation of the roles they played in the institute were present in the room as I interviewed the students and would be at work as I read the transcript. I questioned my ability to bracket my prejudices and my experience as a good phenomenologist should. Nor could I let the data speak, the personal nature of the motives I brought to the teaching were at play in my reading of the transcripts. I was interested in the students' learning and experience but also I brought 10 years of teaching experiential leadership to bear on my analysis and I could not pretend it did not influence my interpretation of the data. I recognized that as much as I looked to stay grounded in the students' experience, my intent was not to develop theory but rather to see if a particular theoretical perspective (Kegan's) was helpful in thinking about the participants' learning and experience. My committee's request that the study be amended and that the SOI analysis be dropped actually helped me to return to the data in a more attentive manner.

Another problem arose when, as is described later in the chapter, the attrition of several participants from the study opened up a search for new data to be included in the study. The students' written reflections during and following the class offered a rich source of data. But again I did not imagine being able to have my previous readings as the instructor not influence my re-reading of these texts. In becoming aware of the prejudices I brought to the data, I looked around for a methodology that would create space for the methods and analysis I hoped to use, the new forms of data I wanted to include, the increasingly clear influence of my dual role as

well as my own development as an instructor of case-in-point teaching. In seeking a methodology to encompass the smorgasbord of methods and data, I found Denzin and Lincoln's (1994) image of "bricolage" helpful. I was attempting to craft together a way to examine a phenomena from multiple perspectives and multiple roles. Kincheloe describes bricolage as the use of multiple and sometimes conflicting methodologies to offer a richer understanding of phenomena. Kincheloe (2005) claims, "The domains of the physical, the social, the cultural, the psychological, and the educational consist of the interplay of a wide variety of entities— thus, the complexity and the need for multiple ways of seeing advocated by bricoleurs" (p.327). Bricolage, he believes, can be helpful for multidisciplinary studies and research at the boundary.

This research project is in several ways research at the boundary. From a disciplinary perspective, this project is at the intersection of psychology, educational leadership and management education or applying a methodology to a new field. From a research perspective, it is at the boundary of exploring students' learning and development and understanding my own learning and "becoming" a leadership educator through the relationships in the experience we created together.

As I looked at the methodologies available for these particular boundaries, I turned to two methodologies: Charmaz's (2006) constructivist adaptation of grounded theory and the phenomenological hermeneutics of Nakkula and Ravitch (1998).

Experiential education rooted in the richness and diversity of human experience is a complicated thing to describe. While case-in-point has been researched by Parks (2005), we were adapting this pedagogy with unique framing. As a result, I wanted to stay close to what the students said they experienced and learned through the design. Grounded theory offered guidelines for research that would let the students' voices guide the research. Charmaz's (2006)

61

adaptation of Glaser and Strauss' (1968) theory offered a more flexible use of grounded theory that acknowledges the preconceptions researchers bring to the interpretive process and builds on the shared experiences of researcher and subject. The constructivist lens and the emphasis on relationship found in Charmaz's view of grounded theory seems to offer a good fit for research from the dual role of the instructor-researcher.

At the same time, I wanted to acknowledge the highly interpretive and multi-layered character of case-in-point teaching. I thought that my own perspective as instructor and facilitator of the social context of this temporary institution and of the students' development within this context would offer a richness that might be lost.

Described earlier in Chapter One, Nakkula and Ravitch (1998) offered a methodology for applied developmental work. Nakkula trained me in this particular methodology as a graduate student during my masters coursework and as a site coordinator for graduate interns in Nakkula's classes. Developed as a methodology for the research, practice and theory building of youth development workers, it offered a way to attend to the biases I brought to the analyses of the data and to my own development as an instructor. The hermeneutic lens also offered a good method for including the written texts of the students' reflection in the study and my changing interpretation of these texts over time.

Nakkula and Ravitch's (1998) hermeneutical phenomenology involves a combination of process notes driven by the research questions and reflective, integrative, existential and analytic memos. This reiterative process allows the researcher to trace the evolution of interpretations over time.

In light of these questions and my own acknowledged tension with constructionist epistemology, bricolage offered a way to bring together and sometimes hold in tension grounded theory and hermeneutic methodology.

3.2   METHODS

3.2.1   Population

This study involves aspiring principals in the cohort of LIFTS, the newly redesigned K-12 principal preparation program at the University of Pittsburgh. The principal preparation program has been completely redesigned based on the state and national standards and a review of the literature. The participants are graduate students enrolled in a 15-month cohort-based course of study. The initial cohort was made up of 14 practicing teachers and coaches seeking principal certification. The redesigned program is divided into four new curricular blocks. The first block, named Leader as Learner, includes a five-day intensive leadership institute. The institute was taught in July 2009 and included communication training, an introduction to adult development theory and case-in-point teaching. The objective of this initial block is for students to gain an overview of adult development theory to frame their own learning and leadership while in the principal preparation program. The adult development theories are also introduced to offer the aspiring principals an additional framework with which to approach instructional leadership (Drago-Severson, 2004). Adaptive leadership offers a theoretical frame that will complement the leadership models offered in the Institutional and Public leadership blocks of the program.

IRB authorization was sought in early April 2009 but had not been received by the time of the first meeting of the cohort. All 14 members of the inaugural cohort of the LIFTS program attended a one-day orientation to the program held on May 9, 2009. At the orientation, the students were informed of the study and were invited to think about participating in the study. The role of instructor-researcher that I would play was explained as was the voluntary nature of the study and lack of academic consequences for not participating. The students were told they would be contacted by email with an invitation. Once IRB approval was received I sent an email to the cohort inviting them to participate in the study. Two participants had left the program by the time classes started at the end of May 2009, bringing the total in the cohort to 12 participants who were all invited to participate in the study. Eight students initially signed up for the study. Two of these eight students involved in the study dropped out of the program and the study during the summer semester and one additional student dropped the program during the fall semester but remained in the study. A second invitation to participate in the study recruited four more participants. Two agreed to be interviewed and two who did not meet for an interview but offered their course writings for the study. So a total of 10 students participated in one way or another in this study. In addition, three faculty members who had taught the cohort in the fall semester following the institute were interviewed individually.

3.2.2 Subject object interview

During June 2009, prior to the Leadership Institute, the students in the cohort who had filled out the appropriate consent forms were interviewed using the Subject-Object Interview (SOI) protocol (see Appendix C) developed by Kegan and his colleagues (Lahey, Souvaine, Kegan, Goodman, & Felix, 1988). The ninety-minute interview involves the participants telling stories

sparked by six key words (Angry, Success, Strong Stand or Conviction, Important to Me, Torn, and Change). The participants are given time to take notes about each word and then asked to share the story the word evoked. Participants are reminded that the goal is to understand how they make meaning of their experience. The interview is recorded for transcription. I have been trained to administer and score this interview protocol that has been used hundreds of times over the last twenty years and has proven validity and inter-rater reliability (Kegan, 1994; Lahey, et al., 1988). The interpretative score of the SOI aligns the meaning-making structure of the interviewee along Kegan's five stages of development and the 20 sub-stages in the transition periods between the stages. The small number of students initially recruited for the study led to the recommendation to not use the SOI score as part of the study. The interviews that had already been conducted were analyzed along with the rest of the material collected.

3.2.3   Follow up interview

After the Leadership Institute ended and final grades had been issued, a second interview was conducted (see Appendix A). It was my intent to have a maximum-variation sample for the follow up interview by meeting with the ten participants from the cohort representing the widest spectrum of SOI scores. Since only eight students signed up for the study, all were invited to be interviewed a second time. As mentioned above, two students dropped out of the program before the second interview. I conducted the second interview with the six remaining participants in the study and two of the four students recruited during the second invitation.

This interview lasted between sixty and eighty minutes. It was a semi-structured interview to gather data about the students' experience and learning during the institute. The respondents were asked questions regarding their understanding of leadership and its practice in

the exercises of the class. The questions were inspired by the research questions and the research studies in the literature on experiential leadership courses summarized in Chapter Two. A first round of follow-up interviews were conducted in person throughout the month of August 2009 based the availability of the students and recorded for transcription. A second round was conducted during January and February 2010 in person and by phone.

3.2.4   Faculty interviews

The faculty interviews were suggested after comments to the program coordinator about their experience of the cohort during the semester after the institute (see Appendix B). The instructors of the fall class had commented about how prepared the students were for class and how intent they were about being on time. Since in the institute, time was used as an example of boundaries that authority manages in a system, the program coordinator thought there may be connections to the cohort's learning during the institute. IRB modification was submitted and approved. The interviews were conducted by video conference using Skype or Ichat. Each interview lasted around 20-30 minutes. The questions in these interviews sought to capture the instructors' perspective of the cohort after the summer and any references made by students to the institute. They were recorded on a computer and then transcribed.

3.2.5   Writing assignments

Participants were offered several opportunities for writing about their learning during and after the Institute. At several points during the institute, students were offered short open-ended written reflection time. These writings were collected and reviewed by the instructors during the

class. Once the consultation groups began on the second day of the Institute, students were given memo assignments to guide their learning and reflection (see Appendix E). Some of these memos were completed in class while others were assigned for the evening. The memo assignments were adapted from Heifetz's own courses (Pruyne & Owen, 1997). The instructors reviewed the memos nightly and comments were offered to guide the students' learning. The final assignment was a 12-15-page reflection and integration paper (see Appendix F). The students were to reflect on their learning during the week and revise their analysis of a personal leadership case study using the learning from the class and the consultation from their small group. The writing assignments were not to be part of the original research project but the writings offered rich material related to the research questions of this project so a modification for the use of the writings was submitted to the IRB and approved.

3.2.6 Analysis

The data analysis consisted of multiple readings and interpretations of the main texts of the study described earlier: the Subject-Object Interview, the post-course interview, the written assignments and the instructor-researcher's memos. Once transcribed, some of the Subject-Object Interviews were analyzed for underlying structures of knowing. This structural analysis attempted to identify evidence of meaning-making system. The emphasis is less on the content of the stories and more on the frame of mind represented in the content. The interviews are scored for evidence of a particular stage or sub-stage of development according to Kegan's theory. To confirm reliability of my interpretations of the interviews, an independent certified scorer recommended by Harvard's Subject-Object Research Group scored three interviews. Following the proposal, it was determined there was not enough variance and no further SOI analysis was

conducted. A second interpretive analysis of the SOI was conducted to identify emerging themes among the interviews of the cohort of aspiring principals.

For the grounded theory analysis of all the student writings and the interviews, I read and conducted an initial coding of the materials using line-by-line coding as described in Charmaz (2006) using the comment feature of Microsoft Word. Despite a huge amount of code generated three themes were evident. The line- by-line codes with the associated data were transferred to several Excel workbooks. In an attempt to focus the coding, I re-read all materials and recoded the data. Next using a VBA editor, I sorted all the data bits by keywords associated with the focused codes within the identified themes of perspective, race, leadership, and authority. The data and the codes within the theme of race were re-read, compared and re-coded into intermediate codes. The same process was followed for the theme of perspective. The intermediate codes from the perspective themes were then compared to the data and codes in the other themes for confirmation and exceptions. Axial codes were developed through this process. A process of comparison between the data, the intermediate and axial codes informed the writing of the analytic memos and the selection of the snapshots of students and events from the institute.

As was described in Chapter 2, Kegan draws on Piaget to theorize that human development occurs as an individual's meaning-making evolves. He describes this evolution as shifts on what an individual can consider and reflect on to construct meaning of his or her experience. As the scope of what one reflects on and takes responsibility for expands--as categories shift from subject to object--one's perspective opens up and grows in complexity. This study uses this notion of developmental meaning-making to analyze participants' responses about their learning and experience of case-in-point teaching. As participants described their

learning or reflect on the experience, I sought to understand how they were constructing meaning of themselves and their world. This was not done for the purpose of identifying a particular stage of development according to Kegan's theory but rather to try to identify qualitative differences in perspective-taking. Thus, inspired by the process of the Subject-Object Interview, a third analysis of the student interviews and writings sought to interpret how participants were making sense of their experience in and after the course, what appeared to be the object of their perspective-taking, what components or dimension of a situation or leadership could they describe and take responsibility for and what may they not identify or appear to critically reflect on.

The hermeneutical methodology developed by Nakkula and Ravitch (1998) informed the management of the multiple roles I played as instructor and researcher. Through process notes, reflective, integrative and analytic memos, I traced the evolution over time of my interpretations of my role and the students' and my contributions to the dynamics of the social system created through case-in-point teaching.

3.2.7 Limitations

The attrition in the cohort created an unexpected limitation for the study. Since the subject of study is their experience of leadership in the system that is co-created by the students and the instructors, missing voices limit the range of reported experiences of the system. One way to address this limitation was to ask for the written reflections of the students including those who were not interviewed.

The small number of participants who volunteered for the SOI meant that data could not provide enough variation of developmental stages to answer any questions involving Kegan's

stages of development. Adults usually represent 3 main stages and 4 sub-stages between each stage. Having 5 participants would not have generated enough representation of the adult stages to draw conclusion about the relationship of stages to learning.

In addition, the small size of the sample will make transferability of the findings about the possible relationship between participants' self complexity and their learning more challenging. To address this limitation, I sought to build "thick description" (Mertens, 2005) of students' perspective taking to help the reader grasp the students' experience.

Another limitation caused by the attrition in the sample is that students did not withdraw from the study but left the program altogether-presumably because of poor experiences in the program. Two voices are not represented in the picture of the learning being developed in this study. Students who left the program did not grant me permission to use their written material. Another student who left the program did agree to be interviewed and offered some of her writing for analysis. Data from a greater number of the students who left the program could have provided more insight about how their institute experience and learning might have contributed to their departure.

Another limitation of the study is the interpretive nature of the methods for the formative evaluation of the institute. The cohort studied participated in the pilot year of this preparation program. The Leadership Institute was one of the new innovations implemented in LIFTS. In light of the state funding for the redesign of the program and the negative press principal programs continue to garner (Wallace Foundation, 2009), there is pressure to demonstrate learning in replicable designs. The scientific, evidence-based culture of educational research for policy might be dismissive of an interpretive study for the lack of objectivity and generalizability. This limitation is inherent in the chosen methodology. Developing a rich

description of the context and the learning to help the reader make application leaps may address some of the questions raised about external validity.

As I mentioned earlier, the IRB raised questions about the dual role of instructor-researcher. The primary concern involved the influence I held as instructor in the recruitment of participants for the study. To help the students differentiate between the different roles represented by the instructor-researcher, I clarified during the recruiting for the study that grades would be finalized and submitted before the second interview that dealt specifically with their experience of the institute. At the beginning of the second interview students were reminded of the purpose of the interview and of my role as researcher interested in listening to their experience and their thoughts about their learning in the institute.

3.2.8   Researcher subjectivity

From 1995 to 2000, I was on the teaching staff of a leadership class for graduate students in education. The class was intensive for the staff and the students and the results were wide-ranging. Some students had transformational experiences, understanding themselves, their situations and their leadership in brand new ways that felt empowering. It was not unusual for a student in this case to comment, "This was the best course of my graduate career." A larger group of students gained some insights on their leadership as reflected in their papers and another smaller group disliked the whole experience, some very strongly.

As far as I know we never researched the implementation of the students' learning in their work environment. Anecdotally though, it seemed that the students in the first group became more effective change agents in their institutions. I was always left wondering why were only a small group of students were "getting it." If the world is changing so rapidly and our schools

71

continue to be places of "savage inequalities" (Kozol, 1991) how can we not afford to become more successful in teaching educational leaders to become more effective? These concerns led me to the study of leadership and epistemology.

Some of the biases influencing me as an instructor-researcher are rooted in the knowledge that I teach something potentially dangerous (Heifetz et al., 1989; Powell, 1997). Case-in-point teaching can be transformative learning and it can also be very difficult. Since the Leadership Institute draws theoretically and pedagogically heavily from my earlier teaching experiences, one of my goals is developing the methodology to minimize the number of students who cannot connect to the material or as Terri Monroe says: "building a more compassionate teaching" (Monroe, personal communication, 2004). So I bring sensitivity to the possible hurts and discomfort students will report.

I also bring a bias as an instructor and researcher about the kind of learning I have seen students report in the past and the kind of shift in perspective students can have in a case-in-point class. The cases students bring into the course reflect the social dynamics of our schools. Undoubtedly unexplored issues of race, poverty, power, and oppression emerge in the cases and in the dynamics of our group. I approach these moments and their interpretation both in the moment and in the data analysis as a white European male. I take up my role as instructor and researcher as one on a life-long journey to attend and redress the destructive nature of the stereotypical prejudices that I have inherited and are often associated with my race and gender in this culture.

The role of instructor-researcher offers some complications but also several opportunities. From an education perspective, the role of the instructor in case-in-point teaching is to facilitate a holding environment for individual and group learning. As the instructor who

72

had conducted the SOI, I was better able to serve most of the students in the feedback to written assignments having developed a rapport with the students during the first interview. Having conducted the SOI but not having scored the interviews, I had a vague hypothesis of the participants' stage of epistemological development. Through daily debriefs, the two other instructors on the teaching staff—the School Leadership Program Coordinator and a visiting faculty member experienced in case-in-point teaching—offered feedback and balance when the current hypothesis of the students' SOI scores influenced our public and private interpretations and feedback to the students. The possibility of bias in instruction is also minimized since the consultative frame being modeled by the teaching staff in the class is more of a systemic than individual perspective.

Nakkula and Ravitch's (1998) hermeneutic methodology seeks to help the researcher-practitioner uncover and attend to the biases brought to the research and practice of developmental work. Through reflective and analytic memos, I sought to track the influence of the prejudices that influence my interpretation of the interviews and the data analysis. The hermeneutic approach acknowledges the interpretive nature of reality and writes my subjectivity into the study as I reflected on how my interpretations change over time.

4.0 CHAPTER FOUR: TEACHING AND LEARNING IN THE INSTITUTE

4.1 INTRODUCTION

This research explores the link between adult development theory and an experiential leadership pedagogy called case-in-point. In this chapter, I describe the design, rationale, and delivery of a 5-day leadership institute. I introduce some of the students in the class and share their experiences and learning. I close the chapter by offering a model for how case-in-point teaching in the institute supported the students' shifts in perspective taking.

Experiential education is anecdotally hard to describe. To capture as much of the complexity and richness of the subject of this study, I offer over the next three chapters a series of snapshots from different points of view and levels of analysis of the institute. Through this experience, I came to find that case-in-point teaching supports growth in perspective taking for aspiring school leaders. While there are variations in growth among the students, the use of adult development theory to frame case-in-point teaching facilitated the students' meaning making of the experience. By this I mean that case-in-point teaching, as it was delivered during the LIFTS leadership institute, helped to shift some students' perspectives of themselves, their leadership, and their organizations in a developmental way. That is to say that most students' perspective-taking shifted on a trajectory towards a more broad, complex, and "psychologically spacious" (as Garvey Berger is known to say) ways. This movement towards complexity in perspective-taking

reflects some of the recommendations found in the adult development and school leadership literature for leadership development.

4.2   DESIGNING THE LIFTS LEADERSHIP INSTITUTE

This research holds personal significance for me in its potential to inform more effective leadership education. As I described in Chapter One, I have taught experiential leadership courses to educators in a variety of settings over the last 15 years. Powell (1997, 2002) has described some of the experiences from those courses. The transformational learning some students described seemed to be critical for a leadership development program such as principal preparation. Yet the disparity of students' learning and experience in courses in the past has always been the source of more questions than answers for me as a leadership educator.

When the opportunity to contribute to the design of the new principal preparation program presented itself, I suggested using case-in-point as part of the leader as a learner block. My continued work in experiential education and my readings in adult learning had left me wondering if a better framing for experiential learning could help students more easily grasp the leadership concepts. More importantly, I wondered if a better framing using Kegan's work to help students develop an appreciation for the uniqueness and diversity of ways of knowing could contribute to the holding environment where more students could connect and engage with the pedagogy.

The leader as learner block began with a one-day orientation. The program coordinator, the internship coordinator, an outside facilitator and myself facilitated the orientation. During the orientation, the students were introduced to the program design and various program

requirements such as the internship. Once the students had been oriented to the administrative and program demands, they were facilitated through several experiential team-building activities. Along with getting to know each other, the students engaged in collaborative learning and were introduced to norms of the institute (e.g., the role of discussion and reflection). The second half of the day introduced Core Communication (Miller & Miller, 1997), an interactive communication training that encourages self-awareness and understanding.

Self-awareness is encouraged in Core communication through identifying six talking skills reflecting five parts of human experience. The six talking skills that make up the Awareness Wheel are: Speak for self, Describe sensory data, Express thoughts, Share feelings, Disclose wants, and State actions. Calling attention to these dimensions of experience also introduces the notion of using your experience as data to be interpreted about the social processes in which one is currently involved, a concept introduced later during the institute. The focus of Core Communication on process as a force in communication and the styles of communication begins to draw students' attention to the complexity of human interactions.

Core Communication offers several characteristics of a developmental holding environment for the students. In asking students to use real and personal issues during the practice sessions, Core Communication affirms their experience as legitimate and useful. With coaching from peers and instructors, students are challenged to use all six of the talking skills to describe the issue of their choice. Thus the six talking skills of Core Communication also challenge many students to a more complex understanding of their experience.

In addition to coaching one another, the students develop a common tool to use for diagnostic or reflective work during the institute. For example, after a particularly challenging

76

case consultation, we had the students use the Core Communication's Awareness Wheel to debrief their experience of the consultation.

The theoretical framing for the course was found in the readings assigned at the orientation (described in Chapter Two) to be completed before the first day of class. An additional developmental framing for the institute comes from the leadership failure assignment adapted from Heifetz's class at the Kennedy School of Government at Harvard where case-in-point was developed. The case study method developed at the Harvard Business School (Martynowych, 2006) has been imported to a number of disciplines. Learning from other people's mistakes through case studies has become a standard pedagogical tool in many professional graduate programs (Merseth, 1991). Case-in-point also draws on case study method but in a twist on the traditional method, students take as case studies their *own* leadership failures.

Due on the first day of class, the case study is a narrative or outline of a personal leadership failure (see appendix for assignment). What makes the case study assignment unique is the unresolved nature of the failure experience, one of the requirements of the case. I described *unresolved* in the description of the assignment as *continuing to have an emotional hold on you*; *something that you have not made peace with*. The cases that the students bring to the institute - despite being several years old for some - represent situations that continue to have a negative emotional connection for them. It seems that the reflection and meaning they have created of the situations has not relieved the tension they experienced during the case. The resolution to the failure involved in the case has eluded them. The assignment asks them to acknowledge this point by writing the unanswered questions they still have which become the basis for their presentation to their small group (and in some cases to the whole cohort). Since experiential

education uses the students' experience to inform the learning process, the case studies by the virtue of being unresolved encourages the students to bring their intellectual and emotional capacities to the class and, ideally, offers additional intrinsic motivation for learning.

Thus having spent a day developing relationships individually and as a cohort, having been introduced to and practiced a common model of communication, having had at their disposal all the theoretical constructs of the course and having reflected and written on their experience of failing leadership, the students arrived to the institute.

The institute was designed to have three sections. Day 1 introduced adult development theory and perspective taking. The schedule for Day 2 into Day 5 included large group discussions and lecturettes, large group consultation and small group consultation. The course closed with the students being facilitated through Kegan and Lahey's (2009) Immunity to Change exercise. Table 1 describes the design of the week followed by a short description of each course component.

Table 1- Institute schedule

Day Theme	Tuesday Adult Devo/ Communication/ Assessment	Wednesday Group as a whole/ adaptive challenge	Thursday Roles: self/group Parallel process	Friday Authority	Saturday
Morning	Adult Development	Large group	Large Group	Large group	Large group
	Why people don't change?	Large Group Case	Large Group Case	Peer Case	Peer Case
	LUNCH	LUNCH	LUNCH	LUNCH	LUNCH
Afternoon	I-SKILLS Communication	Debrief	Debrief	Small Group Case	Immunity to Change
	Strengthsfinder	Small Group Case	Small Group Case		
	Small Group Debrief	Large Group Debrief	Debrief	Debrief	Debrief

The following are short descriptions of each activity in the design of the institute.

- Small Group: The introductory meeting of the small consultation group in which the students develop a psychological contract with each other around personal and group goals and resources. There were two groups of six students. The instructors did not attend these groups.

- Large Group: a large group discussion. These times can include exercises, small lectures and discussions about course concepts or assignments. They are "here and now" events where the dynamics of the class are studied as case-in-point of course concepts.

- Small Group Case: A group meeting without the instructors for the purpose of presenting and consulting to one member's leadership failure case. Each case presentation has an assigned chairperson who takes the title of Designated Authority (DA).

- Large Group Case: Early in the week, the consultation process is modeled with the class. One student volunteers to present to the whole class, the instructors take the role of Designated Authorities and the rest of the students practice the role of consultant.

- Why people don't change: The introduction to adult development theory and perspective taking.

- Immunity to Change: A 3-4 hour awareness-expanding exercise developed by Kegan and Lahey (2009) to identify the role of competing commitments in resistance to change on a improvement goal.

- Debrief: Time to process individually or as a group the events of the class.

4.3   TEACHING THE LEADERSHIP INSTITUTE

Answering the question, when did the institute begin, is a great way to offer a glimpse into the experience of teaching the Institute. Technically, the first day of the institute was Tuesday July 7th, 2009. Apart from myself who had been working on the institute for most of the year and might argue that the institute began back in September 2007 when I was given permission to develop a new course, most students would agree with the starting date. Starting a class on a Tuesday is a little uncommon but the instructors had decided to keep Monday July 6th open for teachers traveling during the holidays of July 4th. What time the Institute began on Tuesday July 7th is a much more complicated question to answer.

On the first day of the institute, when the instructors arrived at the Intermediate Unit early enough to set up the classroom in time for the 9 am start of class, we thought we had ample time to prepare. It was with disbelief and slight frustration that I walked into the classroom to find a large number of students from the cohort there!

One of the questions on the nightly memos the students write about their consultation group is, what was the initial event of the group meeting? The question seeks to increase their awareness of the group dynamics at work in the initial moment of a meeting. The question is a challenging one for students to grasp. Their answers for the first couple memos are usually along the lines of "The presenter presented their case". Such a general answer makes it hard to understand and answer the follow up question in the memo that asks if they see any connections between the initial event and the issues of the case. Eventually as the week goes on, the students begin to understand the value of noticing the initial event. They attend to the significant but often overlooked data in the group such as how did the DA gather the attention of the group, or who

spoke first or how did the seating arrangement of the group come to be and what parallel there might be between the group and the case.

So what was the initial event of the institute? Did the Institute begin at 8:15 am when the instructors walked into the room? Or at 9 am, the time I had set on the syllabus (but as we discovered, following some discussion to understand why the students were there early, did not match the time in the LIFTS plan of studies the students had been given)? Or at 8 am when the students came expecting to be engaged in learning? Although scheduling misunderstandings are not uncommon, in traditional classes they are usually dismissed as unfortunate mistakes. In an experiential class like the institute, one explores the potential meanings (what organizational dynamics between partnering organizations or departments might be contributing to the scheduling misunderstanding?) and its implications (what is "taught" about leadership and authority in the negotiations that occur around the situation – e.g., "see you in 45 minutes"- or space- e.g., "please move all your books so we arrange the tables and chairs for the class?") including the events that followed the reconvening of the class at 9 am.

The instructors' error (offering differing start times on two different documents) and the frustration or challenges it may have caused some students, appears nowhere in the data collected for this study. My interpretation is that this event occurred prior to the students becoming immersed in case-in-point teaching, thus whatever interpretations they made of the event was not associated with their experience and learning. Should a similar event have happened later in the week and been equally absent in the data, I would have been concerned since developing a discipline of attentiveness to the potential importance of such events is one of the reflective tasks in which the students engage. While I suspect that the students made primarily intrapersonal or interpersonal interpretations (e.g., the instructors are disorganized) and

that the initiative taken by the LIFTS program coordinator (who was on the teaching staff of the institute) to clarify and ease the tensions caused by the misunderstanding, I also believe that something about authority was taught in that event (e.g., an instructor's authority should not be held responsible for the frustration the role of being a student may create) and what was taught was primarily a reinforcement of the experiences of authority many of them brought to the institute. I also wonder how this misunderstanding around start time may have influenced the students' experience of the holding environment created by the instructors (i.e., if the instructors are so disorganized as to not be on the same page about start time, are they trustworthy enough to lead this experience?)

As I mentioned, nowhere in the data does that initial event appear. Yet I wonder if it did not influence another group event that occurred shortly after the class started. This event came to be known as the ball-throwing incident. During an open discussion time, I did not call on people who were raising their hands to speak but rather let students speak at will. This caused some confusion as students had to negotiate how one gained the space to speak to the large group. During the negotiation Sam volunteered to go get a ball from his car to implement a communication protocol that would prevent people from speaking over each other. When I was silent and the students did not reply to Sam's suggestions with consensus, he grabbed a marker from his bag and offered it instead as "the talking stick" and threw it across the room to a startled student. My intervention following the toss of the marker consisted of questions to the group and Sam about his role on behalf of the group around the challenges of joining a group, including the group relationship to authority. This is an example of using the "here and now" events of the class as case-in-point for learning about leadership. It highlights what Martynowych (2006) called the authority vacuum that students have to wrestle with in case-in-point teaching. The

ball-throwing incident came to be a reference point for several students, which I will describe in later chapters, and also by the instructors of the cohort in the fall.

4.4   THE COHORT

The twelve students who were enrolled in the inaugural cohort of the LIFTS program represented a number of area schools and experience. The following table describes the cohort.

Table 2- Cohort participants

Names	Position	Gender	Race/Ethnicity	Years teaching
Jim	Middle school science	M	Caucasian	4
Sally	AP English	F	Caucasian	3
Bob	Elementary	M	Caucasian	2
Sam	Music middle and high school	M	Caucasian	5
Mary	High school math	F	African American	10
Julie	Central office	F	Caucasian	3
Tom	Central office	M	Caucasian	
Luke	Middle School special education	M	Caucasian	4
Kim		F	Caucasian	
Tammy	High school English	F	African American	
Tess	Middle school Math	F	Caucasian	2
Tara		F	Caucasian	

At 9 am on Tuesday when the institute finally started, the students took seats around tables set up in a U. As will be discussed a little later, with one exception the students kept the same seating arrangement for all the large group discussions of the institute. Figure 1 describes the seating arrangement of the large group meeting on the first day and most of the rest of the week.

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┌─────────────────────────────────────────────────────────────┐
│           Program coordinator (seated at back of room)        │
│                                                               │
│                                                               │
│              Tammy        Tara   Rachel      Kim   Tess        │
│           Tom                                          Luke    │
│           Julie                                        Sally   │
│  I        Jim                                          Bob      │
│  n                                                            │
│  s        Sam                                                 │
│  t                                                            │
│  r                 Instructor (standing)                      │
│  u                                                            │
│  c                 Front of room                              │
│  t                                                            │
│  o                                                            │
│  r                                                            │
└─────────────────────────────────────────────────────────────┘
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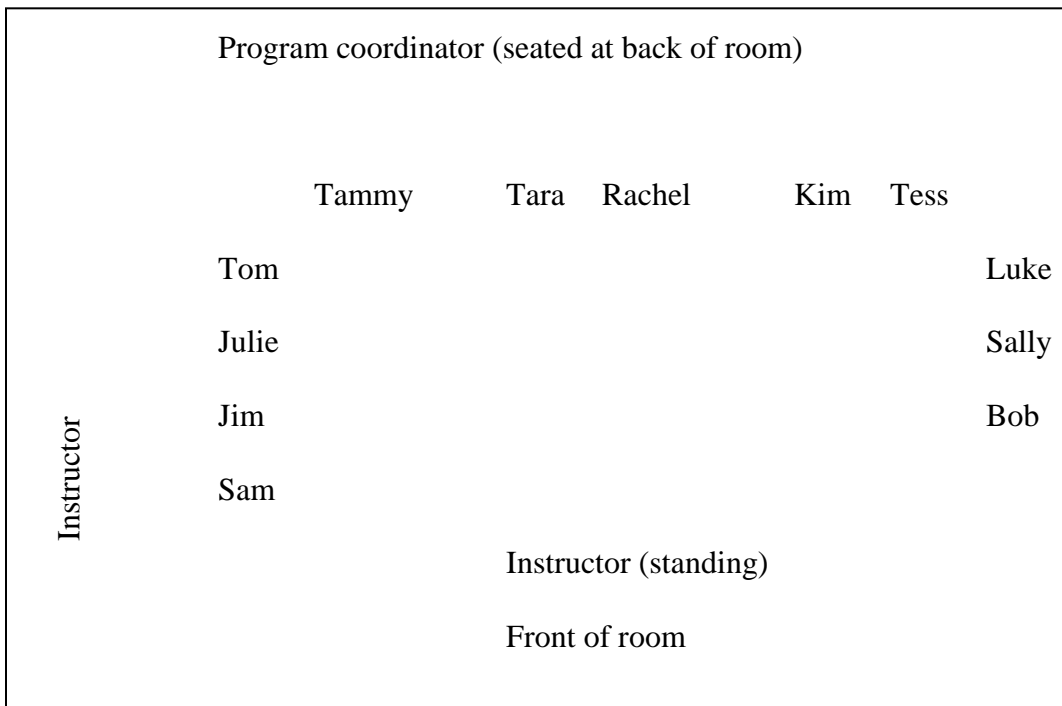
Figure 1- Classroom layout

The visiting instructor and I taught from the front of the U in front of the board and screen. Whichever of us was not teaching at the time stood or sat off to the side behind Sam.

The four dimensions of adaptive work (Heifetz et al., 2009) offered the initial frame for the institute:

- Diagnose system

- Mobilize system

- Understand self

- Deploy self.

The first day of the leadership institute focused on Understanding self by offering a sample of variables that contribute to the diversity of ways of knowing.

I began an introduction to adult development theory through a reflective exercise on the points of major transitions in their lives. The discussion that followed sought to contribute to the

students getting to know each other a little more but also to begin identifying common characteristics and the contexts of transitions. Next we reviewed the argument for a developmental perspective offered by Cook-Greuter (2004) and the review of course readings about developmental differences as differences in perspective taking (Garvey Berger, forthcoming; Kegan & Lahey, 2009).

To illustrate the limitations of perspective taking, we watched a video of the basketball exercise (Simons, 1999). The video was originally created to illustrate cognitive perception at the University of Illinois. In this exercise the task is to count the number of passes made by a group of people playing with several basketballs. The discussion that follows is less interested in the correct number of passes, but rather in whether anyone notices the person in a gorilla suit that walks through the middle of the basketball players during the play. Since none of the students had seen this exercise before, everyone in the cohort was engaged in the discussion. As is common, most students were so focused on the task of counting that they gave puzzled looks at the question about seeing a gorilla. Some vehemently denied the possibility of the gorilla until we watched the video for a second time.

While this illustration for the limitations of perspective taking offered a conceptual bridge to key adaptive leadership concepts such as *getting on the balcony* and *working with authority,* it also became an important lesson for several students. Kim says:

> I was unable to see the gorilla because I could not see beyond the task presented to me. If the task outweighs the need for change would my perspective be hindered? If my perspective is hindered would I be able to see beyond my own realm or my own need for change?

85

The gorilla also became a reference point for understanding the blind spots each person has in their interpretations of events.

The gorilla video and discussion was followed by a review and practice of Core Communication skills (Miller & Miller, 1997). First introduced during the LIFTS orientation, Core Communication offers a method for increasing self-awareness and emphasizes seeking to understand before being understood. Core Communication also offers a way to think about the internal processes of communicating under pressure and for managing anxiety. My intent in this review was two-fold. First, I wanted the students to practice the common foundation for communication during the institute introduced during the orientation. Second, I thought the framing of managing issues under pressure offered in Core Communication could serve as a diagnostic tool for the students and continue building a holding environment by equipping them to understand differently their response should they experience intense and challenging discussions during the institute.

We returned from lunch to discuss the results of their Strengthsfinders (Rath, 2007) assessment. The students had taken the online survey and read the book prior to the institute. The Strengthsfinders approach offers a non-traditional view of management of self and subordinate by, as the name implies, focusing on strengths development rather than a corrective weakness-focused approach. We went around the class and students shared with the class the top three strengths from the results of their assessment. To illustrate the practical differences found in the assessment, the students conducted an analysis of a case study in small groups selected based on similarity of strengths. Most of the students found the assessment to represent them accurately. For some, the assessment offered a way to talk about their leadership. While this contributed to our exploration of the diversity of ways of knowing, only a few students mentioned it as

86

important learning by the end of the institute. I think the application of the various strengths to a hypothetical case was a bit of a stretch for most students. More work with the Strengthfinders approach prior to doing application work may have helped students make more connections.

By mid-afternoon, we offered an introduction to experiential learning for leadership and the "here and now" work of case-in-point with an explanation of ground rules and another illustration of the limitations of perspective taking, using the spinning finger exercise. In this exercise, students were asked to take their right hand with their index pointing upward, raise it above their heads and begin tracing circles with their index finger in a clockwise direction. Students were then asked to slowly lower their hand below their head while continuing to trace circles. Once their spinning hand was about chest level, students are asked what direction their index finger is turning to find that now their fingers are tracing circles counter clockwise. Statements of disbelief could be heard among the group as students tried the exercise again to confirm their results.

This led us into the crossover exercise that offered an opportunity for students to identify publicly with a variety of identity and affinity groups. After giving the directions, I asked the students to line up on one side of the room. Then I named an identity or affinity group and invited students to walk across the room (e.g., "if you are native English speaker, please crossover"), turn and face the students who might be left on the other side and then cross back over. With each pass, I would thank the students who had crossed. Twenty-five groups generated by the instructors were used during the exercise (see Appendix D). Some of the categories were personal (e.g., if you have ever loved someone who did not love you) while others sought to offers students the opportunity to discover the hidden diversity of experience within the cohort (e.g., if you were born overseas or if you are member of a religious organization). The complete

list of groups used in the exercise is available in the appendix. The invitations to cross for identity or affinity groups that can be potentially difficult are stated as applying to you or someone close to you (e.g., if you, or someone you love is gay, lesbian, or bisexual, please cross over). Done in silence, the activity can be very powerful for some students who are presented with the choice about how to be known in the class by the categories for which they choose to cross the room. It can also be an eye-opening experience for the students to recognize the commonalities (e.g., the number of people who are married), differences (the shame of being Republican among educators), and absences in the cohort (e.g., the number of people who love someone with HIV/AIDS). A discussion followed where students shared their experience and observations of the exercise and the questions they may have but were not able to ask due to the silent nature of the activity.

The silence and the experience of crossing whether alone or with a large number of peers and facing a minority on the other side of the room are deeply reflective for students. The activity serves a number of purposes. On the one hand, it continues the cohort building process as students learn more about each other. On the other hand, it introduces the notion of projection. The difficulty some students expressed with wanting to explain why they crossed for a particular group but not being able due to the imposed silence begins a conversation about the process of projection and developing an awareness for the projections people make on leaders in general and for each of them based on the identity and affinity groups they bring to their leadership.

Following the debriefing of the crossover exercise, the students divided into two self-selected small groups through the group division exercise. The selection process is based on two directives: 1) to create the most diverse groups that will contribute to your learning and 2) no group is complete until both groups are complete. The discussion of this exercise was rich,

offering illustrations for a number of concepts such as process-orientation, multiple understandings of diversity, group negotiation, and managing tensions between group and individual needs. It offered an introduction to the kind of here-and-now experiential work used in case-in-point by having students pay attention to their experience during the selection and negotiation process. Many students spoke of anxiety that reminded them of early sports team experiences. Through more directed questions, students shared the experience of being commoditized when their particular identity characteristic became central to a negotiation (e.g., "you take so and so because we already have too many men").

We closed out the day by asking for a volunteer to present their case to the whole class the next day and by assigning a written reflection assignment for the evening. Since the groups formed in this activity became the consultation groups for the rest of the institute, the next day, the students were given time to meet in their small group with the task of establishing a psychological contract around expectations. The other task of the group meeting was the assignment of the role of presenter and Designated Authority for each of the consultations for the rest of the week.

After two large group case presentations, the rest of the week consisted in small group case consultation. Each day started with an open discussion about their questions and reflections from the night before. These discussions offered a chance for the teaching staff to focus and deepen some of the concepts from the readings through lecturettes or exercises. The discussions also offered an opportunity for the students to practice getting on the balcony and exercising leadership in the social system that was the institute by offering organizational hypotheses about the system or orchestrating interventions.

Each evening, reflective memos were assigned about one of the consultation cases from the day. These memos take one to two hours to complete and are due the next morning. On the last day, due to the presenter for the large group consultations having been from the same group, we designed the last presenter's case as a fishbowl. The group that had presented all their cases, sat on the outside and simply acted as silent observers of the consultation of the other group on the inside. For several students this was a concrete experience of *getting on the balcony*. Finally in the afternoon of the last day, I facilitated the students through Kegan and Lahey's (2009) Immunity to Change exercise. The exercise helps to identify the competing commitments one may hold that prevent achieving important goals in work and life. We were only able to complete half the exercise in class and the students finished it and submitted it with their final paper that was due a week later.

4.5   PERSPECTIVE BUILDING AND LEADERSHIP

As was reviewed in Chapter Two, a number of authors link expanding perspective taking to leadership. Kegan and Lahey (2009) suggest that through the Immunity To Change (ITC) exercise may help this process as one can not only discover once hidden dynamics of competing commitments, but one can also get a picture of one's behaviors and commitments as a system-- a system whose purpose is to maintain the status quo. Just like our body's immune system that prevents our bodies from being changed by foreign organism, this system prevents changes caused by our improvement goals. Once exposed, the assumptions and the system they support can be observed and tested for alignment with reality. Just like the theory on which it is based, growth according to the ITC occurs through gaining a broader, more complex perspective.

Kegan calls the localized shifts in perspective micro-developmental. He believes micro-developmental shifts have a cumulative effect and contribute to whole system shifts (Kegan, personal conversation, 2010).

While less conceptually developed, perspective taking is also an important principle of adaptive leadership. Learning to *get on the balcony* is, as evidenced by the metaphor, an exercise in perspective shifting. While the course readings by Heifetz do not acknowledge it, Garvey Berger (forthcoming) has suggested some developmental implications to the process of *getting on the balcony.* In addition, students read about Wells' (1985) Group-as-a-whole theory that offers levels of analysis for organizational behavior that can easily be thought to offer different perspective-taking lenses.

During the institute, perspective-taking was a term we explicitly used on the first day of the institute to explain adult development theory and implicitly encouraged as a capacity of leadership through the activities and assignments of the class. Through the readings and exercises of the first day, we intended to introduce the notion of diversity, including epistemological, and the limitations in individual perspective taking due to our standpoint.

Following the first day, the term *perspective* is used in a different context. Two of the ten questions in the first version of nightly written memo assignments (see appendix) ask students to identify any hidden perspectives in their consultation group. The students' responses show that most understood the term *hidden perspective* to refer to interpretations of the case that were not offered publically during the consultation. If the interpretations were not spoken during the consultation group, most students concluded that there were no hidden perspectives. The second version of the nightly memo uses the term, *hidden issue,* instead of *hidden perspective*. The students' answers to these questions focus more on the dynamics of the consultation group and

91

less on the case as the week goes on but it's difficult to assess if this is a result of the change in terminology, the instructors' feedback on the memos, or the growing comfort with the case-in-point environment. What is of note is that from the instructional design point of view, perspective-taking was explicitly emphasized on the first day of the class and in the memo early in the week and not revisited until a sentence stem evaluation of the class on the last day of the institute. It is this context that makes the students' description of their growth and learning during the institute so surprising.

From Sally, who called the institute "enlightening," to Bob, who after offering a less-than-well-received analysis of his own family system at the dinner table the previous night, came to me in the middle of the institute asking if he always had to think in this new way, to Mary, who encouraged her colleagues by comparing the opportunity for evolving self-understanding in the institute to "free therapy," most students described an expanding change in perspective taking during the institute. As Kim says:

> I cannot explain it physically or mentally but I felt a shift in my thought process with this particular experience. For the first time, I was seeing beyond my own perspectives. I was seeing beyond my own lenses and opening up to those around me.

The students' reflections on their learning in the final paper of the institute and during the interviews which occurred between one and six months after the class point to a broadening of perspective as one of the main impacts of the institute for most of the students.

Two ideas emerge from my analysis of the data. One is the character and the object of the perspective shifts the students describe. The other is the process by which the students engaged in their experience of the class that leads to perspective shifting. The next two sections will explore these two ideas a little more deeply.

4.6   PERSPECTIVE GROWING

As mentioned earlier, the leadership institute design sought to prepare students for case in point teaching by introducing adult development theory as part of a framing for the course. In particular, we used Garvey Berger's (2010) adaptation of Kegan's (1994) theory around development of meaning making as perspective taking.

Following this framing, the students were introduced to case-in-point teaching through the large group and small group discussions during the next four days. It was through case-in-point teaching that the students began to grasp new leadership concepts and gain a new language to talk about organizations. Yet the notion of perspective taking remained pervasive as the students reflected on their learning about leadership even six or seven months after the course. As Sam said a month after the class: "In my quest to be better and to gain a more accurate perspective of myself, I look towards other people's perspectives of my strengths and weaknesses." Or Tammy reflecting on her experience after the class said,

> My perspective shifted when I started to look at my role in different levels and how one impacted the other. This shift was supported by presenting my case and being asked to honestly look at myself critically as a learner and as a leader and ask what I observed in relation to class, to lab class, and to leadership.

I will return to explore Sam and Tammy's experience a little deeper in the next chapters but at this time, they reflect a common description of the learning: students felt that their perspectives changed and most often that change was growth in complexity through attention to new points of view. Through the institute, students' perspectives of themselves, their relationships to others, and their understanding of schools as organizations were challenged and stretched. The next section explores what this process of perspective change entailed.

93

4.7   FROM "NARROW" TO "WIDER" PERSPECTIVES

As the students contrast their understanding of themselves, schools, or leadership before and after the institute, the recurring theme is one of growth from a limited perspective. Case in point teaching in the institute, it seems, confronted students with the "narrowness" of their analytical perspectives and challenges them to gain a broader, more complex perspective from which to explore leadership and organizations. Sam captures this process of changing perspectives that was a common topic of reflection for the students enrolled in the leadership institute. Sam said he experienced,

> a lot, a lot of deep thinking and a lot of, and maybe just because I never thought of, maybe because my perspective was changed, I don't know, and maybe widened frame where what I saw was enlarged a bit more just from the fact that trying to have to or having to see the whole picture but also taking into account all different other aspects maybe or other people's perspectives…or thoughts on certain circumstances. Stuff I had never really thought of beforehand, being able to put more, I wouldn't say narrow-minded, because narrow mind sounds kind of, I don't know, kind of rough, but in a way maybe, having some kind of tunnel vision where I see a certain point and you don't get the other perspectives. So it was an exhausting week. (laughs).

For many students, the growth in perspective is having access to ideas or points of view not previously considered. The expanding or broadening is the process of incorporating new ideas or opinions into their own interpretation of a situation. As Sam noted, this is a much more demanding experience than he expected.

Reflecting on their own growth, students described a narrow perspective as a self-centered point of view, limited by a certainty about their interpretation of the leadership

94

situation. The broadening of perspective taking described by Sam and others reflects a shift towards a releasing of the certainty with which they hold to their interpretation and an openness to considering others' points of view. This contextualizing of their own interpretations with the views of others can be for some, a radical realization. Kim reflecting on her learning during the institute said, "As an educator, learner, leader, and aspiring principal, I can honestly say that I went into the institute very narrow minded because I lead solely through my own lenses". As will be described in Chapter Seven, for many students, the value of others' point of view became an important lesson that they consider as they imagine themselves as principals.

For a couple students, this loosening of the certainty with which they hold to their point of view reveals a shift away from making meaning in a very concrete and absolute way. Tess says: "As a learner my perspective shifted from thinking that there is always a clear-cut right or wrong answer but now I learned to think with different perspectives." Seeing the world with a certainty that reflects a concrete dualism that Tess describes is reminiscent of the character of a meaning making system identified by a number of developmental theorists (e.g., Perry, Kegan, Belencky, Baxter Magolda). The shift described by Tess could be evidence of an evolving personal epistemology. Since most developmental theories speculate that epistemological changes take place slowly over longer periods of time than a week-long institute, Tess may be describing a micro developmental shift by bringing into perspective and thus having the possibility of taking responsibility for something that previously she had not considered or seen. In time these small perspective changes can contribute to whole-meaning making system change.

The expanding perspective taking described by students is not as drastic for everyone as the way Tess articulated it but the students nonetheless reveal a new understanding that there may be multiple interpretations of a situation. For many students this new understanding

involves a redefinition of the way they perceived the problems in their case study. Tara, for example, came to see that the challenge to her relationships caused by her new role as supervisor, may not have been the only issue in her case,

> [the consultants] were able to open my eyes and view new insight. The group members brought different experiences and background knowledge with them. This experience and group brought clarification of aspects I naturally blocked.

> For some students, discovering the perspectives of others goes beyond understanding that there may be multiple interpretations of a situation, to using these new perspectives to build new understandings of the dynamics of the cohort group, their case or another personal situation.

> What emerges from the data is that while there are differences in the depths of learning or in its application, the way most students described the impact of the institute was as a shift from narrow to a broader, more complex perspective through considering and valuing others' points of view.

4.8   THE OBJECT OF SHIFTING PERSPECTIVES

The variety of ways students described the shifts in their perspective taking revolve around three concepts: self, leadership, and social systems. At times individually and at times collectively, these three areas of growing perspectives come to change the students' perspective of the principalship. The relationships between these concepts can be summarized in figure 2.
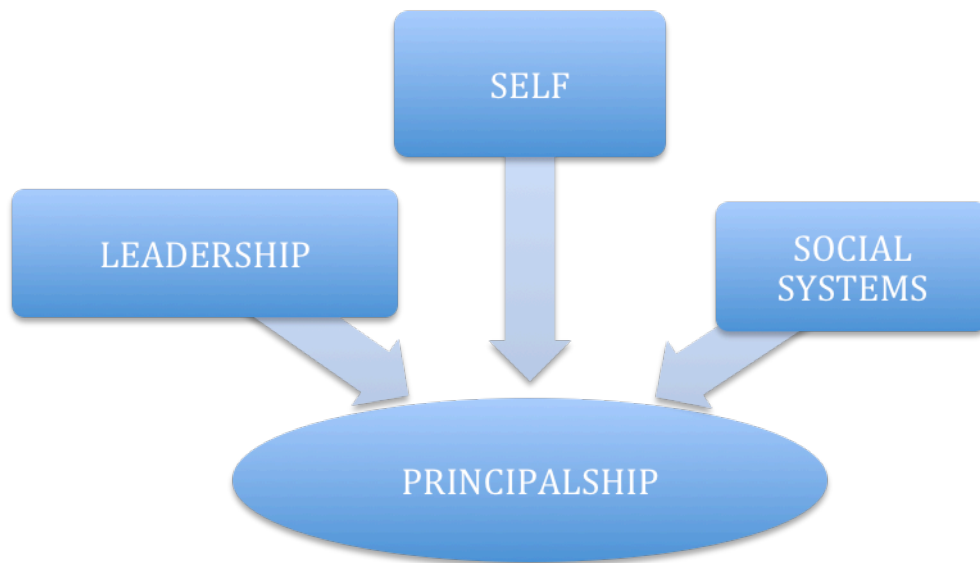
Figure 2- Perspective themes

The dimensions of these concepts are introduced here and then each will be developed deeply in the following chapters through the stories of individual students or critical incidents that occurred during the institute.

A. Learning about self

1. Discovering strengths and weaknesses and valence for playing a role

2. Discovering impact on others

3. Identifying roles

4. Distinguishing self from role

B. Learning about leadership

1. Describing adaptive and technical differences to problems and change

2. Understanding the differences between leadership and authority

C. Learning about social systems

1. Understanding the function of roles in systems

2. Holding a posture of resistance

3. Holding a posture of engagement

In each chapter, the differences in learning about these concepts and their applications and the epistemological implications are explored. Table 3 explains how the students' stories are used to illustrate the findings.

Table 3- Illustration of findings

Student/Learning	A- Self				B- Leadership		C- Social Systems		
	1	2	3	4	1	2	1	2	3
Sam		x	x						
Jim	x				x	x			
Tess		x		x			x	x	
Sally				x	x	x	x		x
Mary			x		x	x			
Tammy			x				x		x

4.9   PERSPECTIVE SHIFTING PROCESS

In listening to the students talk about their experience of the institute and in reading their course writings, a learning process becomes clear that is in part and unintentionally supported by the course design. As was described earlier, the design of the institute offered adult development theory as a frame to support the experience of case-in-point teaching. One of the intents was to

scaffold the experience of "here and now" work by introducing the influence of diversity, including epistemological, on our interpretations of social and organizational dynamics. Thus I had hoped to create a space where students might feel affirmed in their point of view yet also encounter new ways of seeing. The learning process for students, I naively imagined, would be linear. Students had a case, hopefully learned something in the institute, and revisited their case in the final paper informed by this learning. The process by which case-in-point teaching supports shifts in perspectives turned out to be more circular and reflective than I originally thought.

The leadership failure case plays a central role in the students' learning. There is an iterative process of reflecting on the personal case while encountering new perspectives that seems central to the resulting perspective shifts on their understanding of themselves and their organizations. During the institute, the students revisit their leadership failure three times, each time informed with a new point of view. Each cycle involves a reflection on the organization or system and their involvement in it in light of the new point of view. The three points of view are: (1) the course readings, (2) the consultation groups, and (3) the integration of theory and practice over the week.
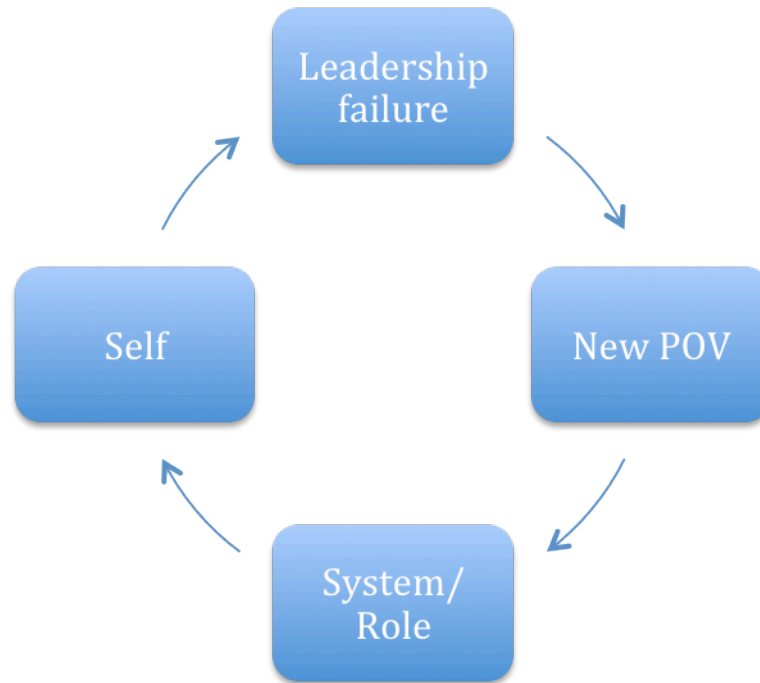
Figure 3- Perspective shifting process

In figure 3, the arrows indicate the reflective process. Some of reflection is done informally alone or with other members of the cohort and some of it is guided through the initial case study assignment, the nightly memos, and the final paper assignment.

4.9.1   First cycle of reflection

The first reflection on the case occurred prior to the institute in the preparation of the leadership failure case study for presentation. The new point of view encountered during this cycle comes from the theoretical frameworks of the course. Most of the students began to integrate their understanding of concepts found in the readings especially the problem-framing distinction between technical and adaptive problems (Heifetz, 1994). This shaped the questions they brought to their consultation group. Several students described struggling with the readings prior to the course, and the application of the new concepts to the cases shows a variation in conceptual

understanding. The multiple levels of organizational hypotheses described in several of the articles were for the most part absent from this first reflection. While students attempted to use new language to analyze their cases, most of the cases reflected a very intrapersonal (I think it's a failure because I didn't meet my goal) or interpersonal (my failure is that I had a conflict with my colleague) analysis of the leadership failure and the system in which it occurred. Tammy writes,

> Before the institute I spent a great deal of time trying to understand my failed leadership and my views of leadership and authority, but it wasn't until I was able to view myself as a learner and a leader and then reflect on these experiences that I was able to make meaning.

4.9.2 Second cycle of reflection

The second reflection on the case occurred in the consultation groups. The new point of view encountered in this cycle consisted of the hypotheses developed by the consultants. For each presentation, one person is selected as designated authority to lead the group in its task. The rest of the group members serve as consultants to the case. As the consultants unpack the case with the presenter, many receive interpretations about their situation they had never considered. Tara, for example, remembering her consultation group said,

> While identifying the adaptive challenges, the small group consultation constructed certain hypotheses to apply to my case. One hypothesis that never even crossed my mind at all was based upon gender: I may have been given authority through the higher ranks, but the males may not see me, a female, as an authority based upon my gender.

Given that the cases are about personal failures, receiving these new interpretations can be challenging and can engender a defensive response on the part of some students. It is the role of the DA to manage this challenge and to lead the group into offering a consultation that can be heard and helpful to the presenter's learning. Like Tara, many students received new interpretations on their leadership failure that changed the way they thought about their role and their organizations. Some students reported being distracted and even feeling guilty when acting as consultants, because the cases being presented and the interpretations being offered in the small group stimulated their thinking about their own cases.

4.9.3   Third cycle of reflection

The third reflection is found in the work of the final paper where the students are encouraged to integrate their learning over the week and the theoretical frames of the course into a new analysis of their leadership failure. In this iteration of the cycle, the point of view encountered is the integration of theory and practice as experienced in the laboratory of the class. This includes the learning they did in the "here and now" discussions of the class, such as the informal roles they played in the cohort, and their reflection on their Immunity to Change exercise. For example, Sally received feedback from several cohort members about the role of quiet authority that she played in the institute. This was important as she came to realize how her resistance to being seen as an authority by her students had contributed to her leadership failure. It also gave her confidence to envision some changes to make in her classroom for the coming school year.

This iterative process of reflection and encounters with new points of view creates for students a scaffolding for their learning and perspective shifting. One way to understand how case-in-point teaching supports the shifts in perspective taking described by students is that the

institute design guides the students through a hermeneutic process. Students in the institute experience a type of *thrownness*--described by Nakkula and Ravitch (1998)--as they encounter the consultation group and the familiar roles of students and instructors redefined in case-in-point teaching. Nakkula and Ravitch, using Gadamer's (1976) understanding of the hermeneutical circle, describe the forward arc of projection as the experience of being thrown into new experiences with sets of assumptions and meanings that are unrecognized because they are so much a part of who we are. The experience of starting the licensure program, returning to graduate school, or encountering a new point of view on something as personal as an unresolved leadership failure as the students did during the institute, all contribute in a small way to the experience of being thrown. Students create meaning of these experiences out of the prior assumptions and meanings they bring to the experiences.

The experience of *thrownness* alone does not change our perspective without some critical reflection. Such change requires what Gadamer (1976) calls the return arc of reflection. Through critical reflection, one is able to expose the heretofore-unexamined assumptions and meanings that create our *forestructures of understanding*. The experience of thrownness opens an opportunity to explore one's prejudices and how these shape one's interpretations. The perspective-shifting model described by this study shows how the institute design engages students through the forward arc of projection and return arc of reflection.

Through introducing the students to adult development theory, epistemological diversity, and the limits of perspective taking (among other diversity) at the opening of the institute, students are both thrown forward as they enter the institute and given a framework with which to critically consider their perspective. Developmental framing for case-in-point teaching equips the students to engage the hermeneutical circle and through the process of critical reflection and

103

critical self-reflection (Cranton, 2006) involved in the return arc, experience shifts in perspectives.

Another way to consider how case-in-point support shifts in perspectives is to explore how the developmental framing and reflective cycle described above create a holding environment. As described in Chapter Two, Kegan's theory (1982, 1994) attributes a developmental role to the context of the learner. The three functions of the holding environment described by Popp and Portnow (2001) are to affirm, to challenge and to maintain. I believe the reflective model of the institute fulfills these three functions. It offers students a chance to present their understanding of their leadership failure unresolved as it may be. The developmental framing of the first day aids in this affirmation through acknowledging the diversity of variables that influence our interpretations. The first two encounters with different points of view (the readings and the consultation groups) are moments of challenge to students' perspectives on their case and by extension, perspectives on themselves. The last encounter with a new point of view, the integration of learning, is a form of maintaining or sticking around beyond the class meetings of the institute in at least two different ways. Temporally the papers that are the product of that iteration of the cycle are due a week after the last day of the institute thus giving students some time to reflect on their experience while also keeping their attention on the learning beyond the actual class. The graded final papers with feedback from the instructors are returned two weeks after the assignment is due. Thematically the final paper also contributes to the maintaining function of the holding environment by creating space to revisit their experience of the institute (by asking students to reflect on their role in the institute, for example) and to integrate their experience into their previous understanding of their leadership failure. In addition, this study contributed to the maintaining function of holding environments by having

the students reflect on their experience and learning in the institute through an interview one to six months after the class. From a program perspective one could consider that having the institute during the first term of the LIFTS program also helps reinforce the maintaining function of the holding environment in that the institute is not a stand-alone event like other experiential leadership programs such as Group Relations Conferences. The continuing structure of the LIFTS program offers a context for experience that continues for a year.

The notion of holding environment could also contribute to the understanding of the exit of three students from the program in the month that followed the institute. I chose not to add another chapter to this dissertation to explore this since data from the students who had left was incomplete. But future research about the experience of holding environment by students at different stages of self-complexity might contribute to better understanding students who withdraw from experiential programs.

4.10   SUMMARY

This chapter described the design and teaching of a five-day leadership institute for aspiring principals. The institute offered adult development theory as a frame for the experience of case-in-point teaching. Analysis of the students' writing during and after the course and of interviews done one to six months after the course revealed that most students in the institute experienced shifts in perspectives. These shifts represented growth towards broader and more complex ways of thinking and centered on new ways of understanding themselves, leadership and social systems. Students in turn, applied these new perspectives to their thinking about the principalship. A developmental framing for case-in-point supported these shifts in perspective

through iterative encounters with new points of view on the students' leadership failure case study.

5.0 CHAPTER FIVE: TAMMY'S CASE: SHIFTING PERSPECTIVES ON SYSTEMS

5.1 INTRODUCTION

This chapter examines in more depth the experience and learning of institute participants through the consultation groups. The encounter with a different point of view that occurred in the consultation to their case proved to be important for many students' learning about systems. The consultation described in this chapter was one of the two cases presented to the whole class in order to model the consultation process. In addition to aiding the learning of the presenter, this consultation, as a meeting of the whole class, played a critical role in students' learning about case-in-point teaching, adaptive challenges, and systems. An organizational hypothesis I offered about the issues in the case challenged most of the students' perspectives on the presentation. The students' responses to encountering a new point of view are described as postures of resistance or engagement and their influence of students' learning are discussed. Students demonstrating resistance develop more self-focused perspective on systems. Group-level analysis of the consultation including the impact of race as the subject of the new point of view offered is discussed.

5.2   TAMMY'S CASE PRESENTATION

Unlike the small group case presentation when the instructors were absent, in the two large group case presentations, the instructors served as chairpersons of the meeting (or Designated Authorities as they are called). The students presenting their cases to the whole class had volunteered on the first day of the institute. During the consultation, the students and instructors sat in a horseshoe configuration with Tammy, the presenter, at the open end of the horseshoe. Tammy's case took place on Wednesday. It was the second large group case. The day before the students had taken part in the first large group case and the first small group case. They also had assigned a memo to guide reflection of the first large group consultation.

The case presented by Tammy involved her leadership of a team of teachers from a well-regarded, magnet-type urban school tasked with writing a report for a state evaluation. Although the report was written and submitted, Tammy, an African American English teacher with many years of teaching experience, identified her failure around the process of the team. One problem she stated was the personal cost of leadership to herself due to the amount of work involved. Two absentee team members amplified the amount of work for the team and for Tammy, one of the two co-leaders of the team. The missing members included the other assigned co-leader for the committee and a teacher who had been assigned to the committee by the administration but whose name was unfamiliar to the rest of the committee members. The case presentation focused on Tammy dealing with the factions among teachers represented by the absentee co-leader. Tammy's attempts to find the other missing member of the team revealed many weeks into the project the reason for her lack of success at identifying the missing teacher. Tammy realized that she had been searching for a non-existent teacher because the administrator who had put the team together had misspelled the teacher's name. When Tammy discovered the mistake, she felt

embarrassed and rationalized that on-boarding this now-identified teacher would take more work than her potential contributions to the team and so she decided not to contact the teacher.

The complexity of the case made it a great example to introduce students to the process of consulting. Several issues were apparent - the tension between the co-leaders as representative of the different factions in the school, the presenter's own professional ambitions and perfectionism, the demands placed by administrators on teacher leaders. As the consultation group unfolded, the students in their roles as consultants primarily asked questions to unpack the details of the case in order to explore some of these issues. In my role as Designated Authority, I encouraged the consultants to explore more systemic issues that might be represented in the case. Initially my comments were seeking to move the consultants' work away from the details of the case towards identifying possible adaptive challenges. I was thus intentionally vague about specific interpretations I was forming about the case. When none of the consultations from the students addressed the misspelling of the teacher's name--a misspelling that could have been construed as "mild" racial epithet-- as symptomatic of a possible systemic adaptive challenge, I interpreted this silence as data about the case *and* the consultation group. I then raised the question about whether the misspelled name given to the missing teacher might point to adaptive challenges faced by the school around issues of race. This interpretation challenged students' perspective of the case and led to a heated discussion.

Tammy's case presentation became a critical incident or reference point for students. Throughout their writings and interviews, many students described the discussion that ensued as the most difficult point of the class; one that made people uncomfortable, divided the cohort and introduced tension that some students felt was unresolved. For several of the students, Tammy's case was an eye-opening moment, helping them shift their understanding of schools as systems.

Others, who initially demonstrated resistance to exploring this new perspective described in their follow-up interview openness (if somewhat limited) to considering multiple interpretations. The case presentation offers a unique window into students' experience of case-in-point teaching and what some learned in the institute. It also raises questions about how certain points of view- such as race issues- and the instructors' response might contribute to students' resistance.

5.3 ANALYZING LEADERSHIP FAILURE CASES

As was described in earlier chapters, the emphasis on the adaptation of case in point teaching during the LIFTS leadership institute was on developing the ability to consider schools as organizations from multiple levels of analysis. This type of analysis is often associated with system thinking (Wagner & Kegan, 2006). Heifetz encourages developing skills of *getting on the balcony* to gain a new perspective of the action on the dance floor (Heifetz & Linsky, 2002). To make this process of analysis a little more concrete for students, we introduced Wells' (1985) group-as-a-whole theory where he describes multiple levels of organizational analysis as intrapersonal, interpersonal, intergroup, group-as-whole and inter-organizational.

Despite having been assigned all the readings prior to the course, most participants came into the class with leadership failures analyzed from the intrapersonal or interpersonal perspective. For example, the leadership failures are framed as a failure on the part of the individual (I should have set lower expectations; I should have been more organized) or a failure of a relationship (the inability of two teachers to communicate around different strategies or inability to gain a principal support about a staffing issue). Tammy's questions to the consultants when she presented reflected both. She wanted to know if her failure was due to her blaming the

missing individual and her identification with one of the teacher factions. Wells' (1985) taxonomy helps the consultants and the presenter explore broader, more symbolic levels of analysis found in identifying adaptive challenges. Thus one of the consultants' tasks is to offer different frames for understanding the case. By bringing new perspectives to bear on the case, the consultants seek to identify new possibilities for action for the case presenter in the system. The task of the Designated Authority (DA) is to mobilize the group in its work and to attend to potential parallel processes that emerge in the consultation.

The teaching staff in our roles as Designated Authority for Tammy's case challenged the group with a new perspective on the case to deepen the understanding of the leadership issues. As described earlier, I - the only male on the all-white instructional team - offered the interpretation that the events in Tammy's case may be symptomatic of the school's adaptive challenge around issues of race. Until that moment, race and ethnicity had only been mentioned in Tammy's description of the demographics of her team, what one participant described as "background information." In our roles as instructors, the teaching staff attempted to work with the students' immediate responses to the intervention, seeking to model case-in-point by using data to draw parallels between the case and cohort; in this particular case, to examine the difficulty in seeing the possibility of this new interpretation. The discussion that followed my interpretation of Tammy's case elicited a variety of responses and offers an opportunity to describe the process of perspective building involved in case-in-point.

Several students framed their response to the interpretation of the possibility of race as a systemic adaptive challenge as a question of "seeing or not seeing race." The metaphor of vision supports this idea that what is involved is a question of perspective taking. But the metaphor also defines the process as a passive one- something that one has little control over. Sam says: "I

111

guess it was raised that we didn't notice that the race of the one teacher, and misspelling of the one name as a significant point. At that point we all kind of went, 'What do you mean?'" The language of "seeing and not seeing" may have been a carryover from the gorilla exercise on the first day of the institute. Some students did draw a parallel between their peers' reactions to the interpretation about race in Tammy's case and to the video a few days earlier: both were reactions to having something that is overlooked, pointed out and becoming undeniable.

One problem with such framing is its dualism and many students saw the discussion turn divisive as the conversation shifted from the possibility of the adaptive challenge in the case to the difference in perspectives between those who "saw" race versus those who didn't. Sam said,

When I truly thought there was no, no issue there, but the fact that there could have been. And not that I was upset in the fact that I missed or that I didn't see that, or I didn't think that there was an issue. But what bothered me was that, that no one in the group saw it either and so it was almost like the question of if a tree falls in the forest does it make a sound?

Sam generalizes his experience for his peers. While it may be true that the connection between the misspelled name and race as an adaptive challenges for the school was a connection none of the students made initially, the issue of race as a problem in the school was already salient for Tammy, whose real reason for not approaching the teacher whose name had been misspelled was her awareness of the racial connotation of the misspelling. She had not shared this in her presentation but when it was offered as a possible interpretation, she saw an opportunity for an important discussion.

While some students became quite vocal in defense of their perspective during the discussion, others took more of an observer role. Sally describes,

For me, I don't think that I created any tension but I did feel uncomfortable in that

situation. There may have been, I'm thinking of some of the more outspoken members,

like Kim or, I don't know, there may have been a little bit of tension caused by the more

outspoken members. And people didn't want to say anything to them.

Others reported various levels of discomfort in themselves or in others during and after

the discussion. As Mary, one of the two African American women in the class, recalls,

So I think that you know, people still walked away very defensive and offended at

anyone thinking that anyone in there would ever even think that that was a racist issue.

Because they never even thought of it… When you [the instructor] were saying, "Well,

look. It's still an issue," but it wasn't an issue. But it's still an issue and nobody was

willing to give in to that because what would that say about them. So that would have

been a good leadership opportunity but nobody felt safe enough to go there."

Mary's comments certainly raise questions about the instructors' facilitation of the

conversation and the safety of the group that will be explored later in the chapter. Mary joins

Tammy and it is noted that the two African American students in the cohort expressed after the

institute having had a desire to explore the interpretation and its implication for the case. The

confrontational turn in the discussion and the time boundary for lunch led the instructors to end

the consultation group and break for lunch. The conversations among the students continued over

lunch. One student, a current administrator who described herself as passionate about issues of

racism in schools, waited until the break to go and apologize to the presenter for not noticing the

racial issues in the case. When the students returned from lunch, we gave the students an in-class

written reflection assignment to articulate their insights and remaining questions from Tammy's

consultation. The instructors collected the reflections and responded to them in writing that night.

In the context of the student's reflections on the event, I would like to explore two ideas about perspective taking and case-in-point teaching. The first is how the variety of students' responses to having their individual perspective taking challenged influenced their learning about systems, and second is the complexity of having difficult conversations about race issues in schools.

5.4   THE VARIETY OF STUDENTS' EXPERIENCE

The students' experience offers a glimpse into the difficulty and opportunities of case-in-point teaching for principal preparation. This section focuses on the students' responses to encountering a new perspective on the case presented. Although issues of race (e.g., institutional racism, racial identity) were not the subject of this research, they permeate the data and analysis in this chapter. Learning about dynamics of race can engender a resistant response (Powell, 1997, 2002) and it is hard to imagine that the subject of the interpretation did not contribute to the intensity of some students' responses. Yet I believe if race as a topic heightened the response, it also made the process of encountering new perspectives more evident. That process is what this section describes. Further research may help to clarify whether race issues uniquely influence and potentially distort students' responses to encountering new perspectives.

While none of the students talked about initially considering the situation around the misspelled name in the case as symptomatic of possible adaptive challenge around race, once the interpretation is offered, the individual responses fall into two categories: Those that consider the

possibility of the interpretation and those that question its validity. In other words when encountering a new perspective on the organizational dynamics of the case, the students' initial response is one of questioning which leads to either *a posture of resistance* or *a posture of engagement*. Over time, while the posture of resistance becomes slightly more open to considering the new perspective of the influence of race as a possible organizational dynamic (i.e., in this or other cases), the students' initial interpretation remains their avowed position. While this response could be considered a resistance to experiencing dissonance, the students did, in other situations, consider alternative points of view to theirs. The students who demonstrate a posture of engagement consider the viability of the new perspective and increase the complexity of their own perspective taking by integrating the new perspective into their analysis of leadership and schools. A third group of students I call the missing voice due to their absence from this analysis. These students either did not enroll in the study or left the study and the program. Since this analysis considers the class-as-a-whole they must be acknowledged although little data is available about them. Figure 4 below and the following sections describe a little more closely the students' reaction and learning.
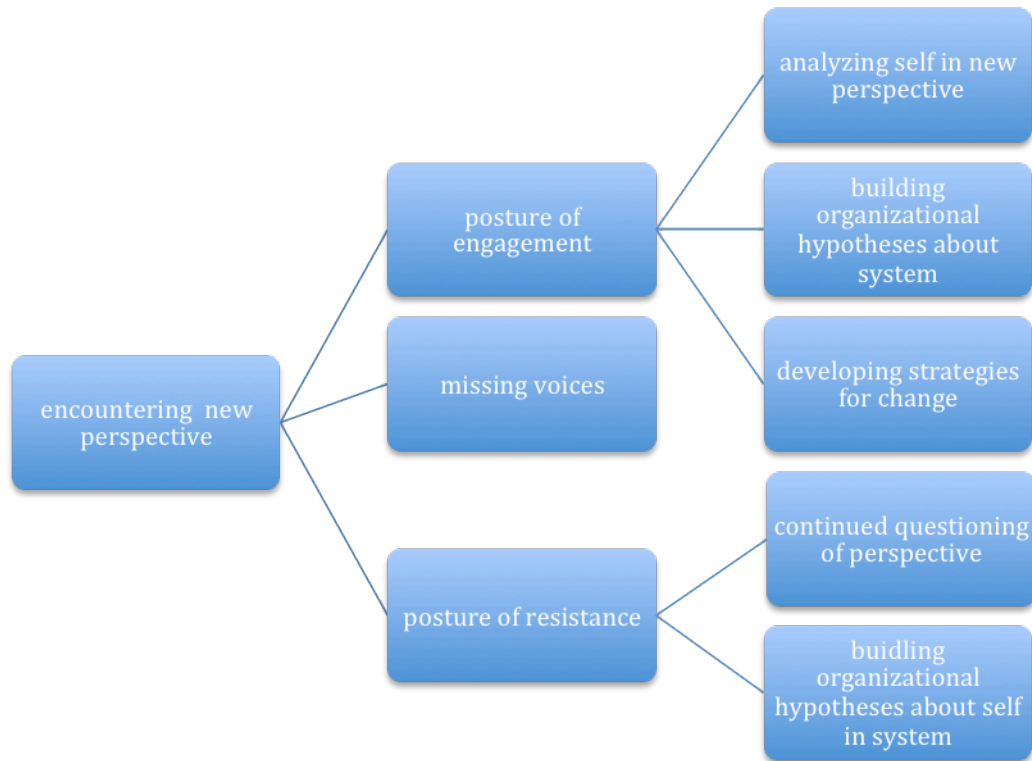
Figure 4- Student reactions and learning in Tammy's case

5.5   A POSTURE OF RESISTANCE (TESS, KIM, SAM)

In the midst of Tammy's case discussion, several students became quite vocal in their rejection

of a new interpretation offered about the case. These students claimed with passion that race had

nothing to do with the case. Attempts by the instructors to engage these students during and after

the discussion did not alter the students' initial perspective on the case. I describe these students

as displaying a posture of resistance.

Following the students' initial response, the instructors invited these students during the

discussion to consider an interpretive stance (Shapiro & Carr, 1993) in their analysis of the case

and the consultation. The interpretive stance highlights the "hypothetical, tentative, and

116

conscious" (Alford, 2003, p. 21) nature of the consultation process and encourages a critical distancing for the students to reflect on the consultation. These attempts were unsuccessful and students became further entrenched in their resistance. Attempts by the instructors to model the work of the DA by explicating the interpretation and the use of parallel process informing the interpretation I had offered that the lack of consultation about race as an adaptive challenge in the school might have been an active avoidance on the part of the group to investigate the subject further placed these students in a defensive position.

Through their reflective writings, during and after the course, and in the interviews as much as seven months after the institute, many of the students who initially exhibited a posture of resistance did not change their interpretation of Tammy's case. Despite the instructors' engaging them on the topic through the responses offered to their writings (memo and final paper), the students did not consider the new point of view to be relevant to the case and continued questioning the validity of the perspective offered. With distance from the institute, the students in this group displayed a shift towards a limited openness to considering race as a variable in organizational dynamics of schools. While the students did not agree with the perspective I offered of the adaptive problem in the case, they expressed openness to the possibility of differing interpretations from theirs.

The students with a posture of resistance did demonstrate a shift in their perspective on systems. Yet the systems-level analysis they develop during the institute are characterized by a self-focused dimension. The systemic interpretations they develop about the cohort or the case appear to serve the purpose of explaining their experience. There is some variation in this area as Sam's hypothesis of his case move beyond self-focused to consider others' perspective of him. As reflected in her memo and despite another instructor's comments raising the possible

117

difference between not "seeing" race and being racist, one of the students, Tess, was offended as she came to equate my comments during the discussion as a personal accusation of racism.

Despite her experience, Tess demonstrated learning about systems by using the course concepts to offer a group level hypothesis about her role. Reflecting on the institute, she described her role in the class as a martyr for the sake of generating productivity in the system, in this case helping others learn. This was a role she came to believe she also played in her own leadership case. Chapter Six further explores Tess' learning about herself and the roles she takes up but here I want to make one observation about Tess' learning about systems. Tess develops a system hypothesis about the institute and her case to explain her experience of feeling attacked and misinterpreted. In contrast to a posture of resistance, other students develop organizational hypothesis based on their experience for the purpose of understanding the system better.

While Tess' reaction is a drastic one, several of the students who expressed a posture of resistance also reported a sense of offense. Further the students continued months after the institute to defend their perspective on the case, offering explanations as to why they had not seen race as a viable explanation during the consultation.

One problem from an instructional perspective is that the students with a posture of resistance continued to carry a sense of offense and lack of resolution about the situation. Tess felt attacked and manipulated and went on to describe the pedagogy of the institute as fabricated. This shift in her perspective of the institute she says actually helped her to re-engage the class:

> I was taking the philosophical view of how you were facilitating the class, and it almost seemed like you were manipulating us while you were teaching us…And it was making me think about how, and again, not to sound condescending, but in a way how leaders tend to do that as well.

Tess may be describing the impact of a lack of coherence theory of leadership ascribed to in the institute and modeled by the instructors. This may be a form of hidden curriculum that undermines the objectives of case-in-point for the institute to teach for leadership. On the other hand, in my other conversations with Tess, she does not acknowledge that as a teacher, she also fabricates the environment she thinks will best serve the educational objectives of her classroom. It does not dismiss that one of the results of the consultation to Tammy's case is a sense of offense by some students. Some might argue that this sense of offense alone might have been the source of resistance demonstrated by the students. But the students seemed to first resist the new point of view (as Sam did earlier) then some, as Tess described, experience a sense of offense through the discussion that follows encountering the new point of view.

5.6   ALTERNATIVE UNDERSTANDINGS OF STUDENT RESISTANCE

The posture of resistance raises many questions for me as an instructor of case-in-point teaching in an educational leadership program. From an instructional perspective, the students who demonstrate a posture of resistance carry a sense of offense and demonstrate a more self-focused and less complex understanding of social systems. In addition, as I mentioned earlier, the influence of the topic of race on the resistance the students showed is difficult to assess. Nonetheless, this section considers alternative hypotheses from the class-as-a-whole lens of analysis to the posture of resistance

5.6.1 Resistance to questions of race

Racial identity theory (e.g., Helms, 1995) describes the experience of dissonance, and often resistance, in the process of white racial identity development. The passionate denial of race as a perspective on the adaptive challenges of the system in the case echo the responses of individuals in the early stages of White racial identity development. This study did not explore the students' own beliefs about racial identity but this could be an interesting dimension to add in future research since the continued evidence of the achievement gap and the principal preparation standards emphasizing support for diversity point to the subject of race continuing to be an important issue in schools.

5.6.2 Resistance to dissonance in learning

Another lens to think about the students' posture of resistance is the role of dissonance or disorienting event (Cranton, 2006) in epistemic development. Several neo-Piagetan developmental theorists including Kegan and Perry describe the important role of cognitive disequilibrium in shifting perspectives. Bendixen (2002) notes that there is general agreement among theories about the mechanism of change, but much research remains to be done to better understand the process. Citing King and Kichtner (1994), Bendixen writes, "Contradictory experiences may provoke a person to 'reconsider, reinterpret, or reject' prior assumptions or beliefs" (p. 193). Bendixen's research supports other reports that encounters with different perspectives can lead to experience of disequilibrium often characterized as a struggle filled with anxiety. Pizzolato (2003, 2005) suggests that repeated provocative experiences--"experiences that disrupted students' equilibrium such that they felt compelled to consider and begin to

construct new conceptions of self" (Pizzolato, 2003, p. 798)--can be needed to move students towards self-authorship. Kegan and Lahey (2009) write that optimal conflict--the experience of frustration that points to the limits of our knowing (p.54)--is the catalyst for growth in mental complexity. They also note that the need for sufficient support to prevent the person from being overwhelmed by the conflict.

The encounter of a new perspective about organizations and institutional racism clearly challenged the students' understanding of themselves as members of social systems may serve as provocative experiences. The perspective of the post-racial discourse in their schools (that will be explored later in the chapter) with its implications for their schools as organizations and for themselves as white teachers in those schools may have been challenged by the instructor's intervention. A developmental perspective on the posture of resistance would suggest that the supports for these students were insufficient for the demand the consultation made for change of perspective.

5.6.3   Resistance in case-in-point teaching

Johnstone and Fern (2004) write about two possible sources of resistance in case-in-point teaching. The first is unattended differences in the needs and values of the group. This chapter describes four sub-groups present during Tammy's case consultation (resistance, engagement, silent, and instructors) each with its own often-unacknowledged needs and values. The needs of the students with a posture of resistance are complex but the students' comments point to a greater need for feeling safe. The need may be directly to the topic of the intervention (i.e., race relations in schools); or to the pacing of the disorienting demands of case-in-point teaching; or a

number of other possibilities. Regardless of the specific needs at work, the resistance can be seen as a failure of the holding environment of the course.

Two group-level hypotheses suggest some of the needs and values that may have been unattended in the consultation. One hypothesis about the dynamics at work in the consultation process that may have led to a sense of lack of safety is that the cohort was managing its own issues of race through the case discussion. By the third day of class, the predominantly white cohort had already had several encounters with issues of race that had not been addressed. The crossover and group division exercises on the first day of the institute were used to highlight the diversity of experiences students bring to leadership—diversity of meaning-making, diversity of learning styles, diversity of problem solving approaches and subjectivity of individual perspectives. The group division exercise encouraged discussion around definitions of diversity and optimal learning environment as well as made explicit the tension between group and individual needs.

The cohort made up of ten white students and two African American students divided into two groups, each with one African American student. This occurred without any discussion about race or ethnicity and how these particular identities might contribute to learning about leadership. The absence of conversation about this process was noted by Tammy, one of the African American women later, "For example, and no one mentioned this, but why was it necessary for Mary and I to be in different groups – did everyone unconsciously make sure that there was an African American member in each group?" Reflected in Tammy's comment is the problematic nature of this absence of conversation and raises questions about the assumptions about race that were present in the cohort prior to the case presentation. Likewise (in a possible act of collusion), I can't recall if the all-white teaching staff offered the observation of this

122

process for reflection during the debriefing that followed. One of the other instructors is equally unable to remember if and how this was presented during the debriefing of the exercise.

A second group-level hypothesis about events of the consultation to Tammy's case is that the group through its faction of resistance and engagement was demonstrating its ambivalence towards formal authority and a challenge to the instructors' authority and ability to maintain a safe environment. Heifetz and others describe the relationship between a group and its formal authority as ambivalent as a group struggles with its expectations for the authority to fulfill certain social functions such as order and protection. In order to create opportunities for leadership and to open for study the experience of being led, instructors using case-in-point teaching often resist the pull to fulfill the role of instructor as formal authority in the expected ways.

One example of this shift in roles in the cohort was found the ball-throwing incident described earlier and the unmet expectations that the instructors would offer order by dictating the format for open discussion (e.g., calling on people to speak). One of the students observed that the students who resisted the interpretation of race were the same students who in the ball-throwing incident sought to have structure put in place to regulate the conversation. In light of our lack of providing enough structure for communication early in the institute, this faction of students went on to impose their own (if you have the ball, you can speak) without engaging the rest of the cohort in a discussion about their proposed structure. One could certainly ascribe a personality difference interpretation for their actions. The students who wanted to throw the ball or the pen would probably rate highly on a number of personality inventories for structure. Yet another interpretation would suggest that for these students managing the anxiety and paradoxes involved in joining this group may be overwhelming (Smith & Berg, 1987) and that the fear of

losing their voice, and by extension themselves in the cohort, motivated them to create a structure for assuring their ability to be heard. While this may be a common experience of group formation for all, these students turned out to be some of the more vocal students of the cohort.

Another interpretation would suggest that the ball-throwing was an attempt to challenge the authority of the instructors to design and facilitate the task of the class (i.e., learning about leadership). A corollary group level interpretation is that the ball throwing was about the cohort's attempt at self-protection (from the authority of the teaching staff). This would be supported by the description offered by one of the instructors from the fall class of the story the cohort told about the ball. The fact that the cohort brought the incident into another class suggests that the event carried a significant symbolic meaning for the cohort. The fall class instructor's impression of the event is that the ball throwing came to mean that all (in the cohort) should be included in the activity or discussion at hand and no one left out. This is a very different interpretation of the incident and one that I suspect not all students would agree with--especially the one who almost got hit with the marker!--but one that supports the notion that on some level the group (as voiced by this faction of student) were wrestling with fears about safety and belonging.

Thus the introduction of such a divisive issue as race by the instructors was met with strong resistance as a way of protecting the cohort's cohesiveness. This idea is supported by data from Tammy who felt responsible for "popping the comfort bubble" by bringing her case and from her position presenting from the front of the room, observed the visible discomfort in the group at the interpretation. The challenge is evidenced by others whose first reaction was "why does it always have to be about race?" (Tammy about Sam) or others who affirmed the inaccuracy of the instructor's interpretation ("we are beyond race" or "we do not see race" -Sam and Tess). The concern about group safety was echoed several times including by Sally's

reflection that our inability to talk about race in the class symbolized the divisive nature of such a conversation in society. Maybe even the personalization of my comments as an attack on character (e.g., you are racist) while not engaging (publically, at least) another instructor's question- "how do you understand the difference between avoiding discussion of race and being racist?" served as a way to try to maintain the unity of the cohort in relationship to the authority of the instructional team. Sam, for example, seemed most disturbed by his interpretation that no one in the cohort had seen race as an issue in the case.

While the fears about not being heard or not feeling safe may be very real to students, they also on a group level communicate distrust (and thus a challenge) in the instructors' ability to take up their authorized role as faculty and to fulfill their contracted task: design and teach a course that will provide learning for leadership. Seashore (1975) describes this dynamic as not unusual in graduate experiential courses.

The two group level hypotheses described in this section offer some possible explanations that may have contributed to the students' reactions of resistance to Tammy's presentation and the instructors' intervention as Designated Authorities in the consultation process.

The second possible source of resistance in case-in-point teaching described by Johnstone and Fern (2004) is focusing the authority's interventions on the individual level instead of the group level. Tess's reflection showed that she did feel singled out by my intervention. Although other students' comments point out that a number of students were outspoken in the discussion, I suspect that the way I and the other instructors worked with some of the students contributed to their experience of being singled out. The turn in the discussion to a more confrontational tone may have been a result of the instructors focusing on the individual level (by communicating

indirectly, "How do you not see this interpretation as possible?") instead of remaining at the group level ("How does the group manage its dissenting voices to accomplish its task of learning for leadership in schools?"). As Johnstone and Fern (2004) write:

> the "Case-in-point" question isn't a personal one about Robert, i.e. why he is angry or even his preference for structure or more formal lectures, but rather what Robert's actions, his social role (the critic) or his interactions with the instructor might tell us about our collective relationships with authority; or how differing needs and values in groups when overlooked can form resistance; or how groups and those in authority roles can unintentionally create the very deviant voices they most want to avoid. (p. 8)

Further as I reflected on my role in the consultation, I came to wonder if my own history did not influence my reaction to the resistance in a way that contributed to the sense of offense Tess experienced. Using Wells' Group-as-a-whole theory, I propose that a projective identification dynamics around my (and possibly the others') anxiety about my own competence influenced the consultation process.

A number of factors contributed to the anxiety I felt during the institute. The institute was the inaugural cohort of the new principal preparation program. The design of the institute was my primary responsibility based on my research and experience teaching case-in-point. It had been several years since I had taught case-in-point. Although I had used case-in-point in courses as the primary instructor, my experience with the pedagogy had been more as a teaching assistant. I also felt a high level of anxiety about delivering a successful class and a good modeling of the power of identifying parallel process in the consultation process. This was particularly salient to me as I considered taking up the role of the Designated Authority (DA) as one of the skills I need to improve. Furthermore, I also thought that the teaching staff had not

done an effective job of modeling the DA role and the use of parallel process in the first large group consultation.

My inability to manage my anxiety in the midst of these circumstances may have led to a projection of incompetence on my part upon the students who did not see race as a possible variable in the case. In addition to my conscious concern about being competent enough to do the job well, there is supporting data for this hypothesis in the valence I have carried as a lightning rod around issues of race in past classes. My consultations around issues of race in past classes using case-in-point have created tension for students. In another class ten years ago, I was actually threatened by a student for offering an interpretation about race in the case he presented. One of the other instructors on the teaching staff of the institute was aware of this valence I carry since she had been witness to these past events. During the instructors' daily debriefing after Tammy's case, the teaching staff did not identify comments that would point to an overt projective dynamic on my part but I do not want to so easily dismiss the possibilities of the shadows teachers often cast on their students (Palmer, 2000).

From a leadership education perspective, a problematic aspect of the posture of resistance is that the explanations offered by the students in many ways blame the presenter for the students' lack of being able to see race as a variable. Several students continue to think that the presenter intentionally obscured the possible racial tones in the case presentation. In other words, the students place the responsibility for the limit of their perspective taking on others.

This type of projection is problematic on a number of levels but especially when the perspective involves something as complex and insidious as institutional racism. First by blaming the presenter the white students place the students of color in a double bind that is paralyzing as a lose-lose situation. The narrative of this double-bind goes something like this:

127

"You as a student of color are responsible for me not seeing the racial dimension of this leadership failure but if you introduce race explicitly in our conversation, I will hold you responsible for being manipulative ('playing the race card') and introducing conflict in our otherwise harmonious group or organization." The experience of this double bind is clearly articulated by the case presenter, Tammy:

> That's what I remember the most about that case. And it made me uncomfortable because I felt like, "Oh hell, I've messed up the harmony."(laughs). Like it just felt like my case wedged a knife in this really comfortable pocket we had created… There was this really kind of comfortable vibe. Everybody was getting along. We were safeguarding each other's feelings… And it was sort of this comfort bubble of we all have to protect each other and I felt like I just ran up with a great big knife and popped it.

The identification on the part of the student of color in this projective dynamics is reflected by Tammy who expressed concern and took responsibility for introducing race and division into the cohort--as if white students did not have a racial identity. In addition, Tammy's comments point out the violence she feels she is committing to the cohort by introducing the subject of race. Such an amplified emotion raises some questions about the developing group dynamics of the cohort. Bion theorized about the basic assumptions of groups (Bannet, 1977). Building in Bion, Turquet suggested Oneness as a new basic assumption (Hayden & Molenkamp, 2003). Tammy may be experiencing that cost of challenging that basic assumption. A more troubling interpretation is that Tammy by taking responsibility for consequences of the discussion of her case is protecting the instructors who were the ones who led the discussion.

Thus we see the embodiment of the dynamics where the competence of teachers of color is undermined as they are silenced (Tammy talks about holding back in future consultations) and

held responsible for introducing race and thus conflict and division. This is quite reminiscent of the dynamics of *The Achievement (K)not* described by Powell (1997). Tammy also clearly described this dynamic at work in her school when she speaks of her experience of questioning if her competence and not her race had really been the qualifying variable in her being hired. As will be described later in the chapter, the discussion of Tammy's case shows how this dynamic is amplified by the post-racial discourse in schools today.

Another troubling finding from a principal preparation perspective is the uncertainty and the questions the students with postures of resistance expressed about their ability to effectively work as principals with staff and students of color. The posture of resistance is not limited to teachers from predominately white suburban districts. Teachers in schools serving a majority of students of color exhibit this response. As Tammy recalls:

> During the consultation, it got to a really uncomfortable moment where I think it was sort of "okay let's deal with this issue or not." And then I remember Sam just kind of throwing up his hands and saying, "Well why does everything have to be about race." And then Tess said, "Why does everything have to be about race." And just the need to want to deny that there was a probl...I mean there was Tess, Sam and Kim who were just like steadfast in saying everything doesn't have to be about this. And everybody else in the room saying, "But this is the issue in this case."… So let's talk about it. But even when the issue was there, just like that gorilla on the tape still not wanting to believe it at all. Even though it was right there, in the room. I was in front of the room and there's only two African American people in the room, and still, they didn't want to hear it. They didn't want to hear it…And I don't know why. It wasn't some threatening conversation where I'm saying, you did this to me, but as administrators here's an issue we might have

to deal with. Let's practice how to deal with those in this space… And just not wanting to do that.

Although the reasons the students offer for their perspective on Tammy's case, they all implicate a post-racial discourse among colleagues or for themselves as framing their perspective on race that was challenged through this case discussion. In the end they do not problematize this discourse that minimizes the influence of race. This was observed by one of the instructors who had the cohort in class following the institute when she recalled the difficulty some students had to see the potential drawbacks of tracking students. As the instructor and Tammy (or other students in the cohort) noted, it's hard to imagine effectively leading schools without the ability to engage discussions about race.

Underlying a number of the reasons for the posture of resistance explored in this section seems to be a need for some students (and therefore the group) to feel safer as participants in the institute. This occurred despite my attempts to design the institute and teach case-in-point in a more engaging and inviting manner. Despite or because (this is work for future research) of the resistance, the students described in this section showed a shift in their perspective taking about social systems albeit a more limited shift in that it seemed to serve the need to explain their experience than the students who exhibited a posture of engagement.

5.7   A POSTURE OF ENGAGEMENT (JULIE, TAMMY, SALLY, BOB)

When presented with a perspective on the case different from their own, a number of students showed a different response from the posture of resistance described above. While these students showed no sign in their consultation to the presenter of having considered the case pointing to

the school facing an adaptive challenge around race issues, their response show an engagement with this new perspective over the rest of the class as it becomes part of the students' own perspective-taking. Through an accommodative process, the students seem to develop a more complex perspective of leadership and schools as organization. This broader perspective is evidenced in its application to their work in the rest of the institute and beyond. The new perspective is more complex moving beyond intra and interpersonal analysis of leadership and organizations, into more systemic intergroup, group as whole, inter-organizational analyses.

The students who display a posture of engagement integrate this new perspective in a number of ways. They reanalyze their own leadership failure described in their case study in light of racial dynamics. They consider the possible influence of racial dynamics in their own school or classroom and build organizational hypotheses in their analysis. And they begin to articulate possible adaptive challenges faced by the schools and possible course of action around race in schools.

5.7.1   Analyzing their own leadership from a new perspective

In none of the cases offered by the students at the beginning of the class were dynamics of race relations included in a case analysis. While there may be a number of reasons for this silence, following the discussion of Tammy's case, several of the students reanalyzed their case with a racial dynamics lens for their final paper. These students all described this as a new understanding, something they had not considered or seen before but helped them make sense of their leadership failure. Sally says,

and it wasn't until that particular case that I thought about my school and the kind of problems the students were having with one another. And it came, you know, it came to fruition that race probably was an issue in my school and I didn't even see it.

Tammy says,

I guess I would say one of the, one of the wonderful things would be that I was able to go through that failed leadership attempt. And in the beginning it was just sort of an, "okay, here's one time when I got put in a leadership position and it went wrong because…" and the end coming out looking at here's the much bigger issue that I was ignoring, or maybe not even ignoring, that I wasn't aware of. I guess maybe coming to some awareness of an issue that may have impacted the way I looked at leadership. That was a, a big thing for me.

In contrast, reflecting on a case presentation later in the institute by a student with a posture of resistance, several students noted that the presenter intentionally avoided offering information about the demographics of the school to steer the consultation away from examining issues of race in the school. When the consultants in the group probed around the issue, the presenter engaged the consultants in a discussion of socio-economic status and afterschool programs and services.

5.7.2   Building organizational hypotheses

Beyond re-examining their own leadership failure, students with a posture of engagement consider the possible influence of racial dynamics in their own school or classroom or in the institute and begin building organizational hypotheses. Organizational hypotheses draw on data from the intrapersonal and interpersonal experience to make interpretations of the overt and

132

covert dynamics of an organization (Wells, 1985). The interpersonal perspective is not dismissed or minimized but rather it is encompassed into a more complex perspective that helps the students make meaning of their leadership and school beyond one-on-one relationships or personal deficiencies. For example Sally in her final paper develops several hypotheses about her former school's adaptive challenges in working with students of color based on her experience as the fourth teacher in a year responsible for her class and the principal's initial introduction to her work with the class and subsequent support of her work during the rest of the year.   One of the strategies offered in the course readings for developing organizational hypothesis is identifying parallel processes between the case and the consultation group. Smith, Simmons, and Thames (1989) offer examples of parallel process as a consultative tool. The identification of parallel process is one of the tasks of the DA's in the consultation group. All the students have an opportunity to practice this role in small and large groups. The nightly memos assignments ask specific questions to encourage reflection on parallel process. While students in both the resistance and engagement groups offered example of parallel process in their writings, as noted earlier the students with postures of resistance focused on their experience and using the parallel process to explain their experience through the informal role they played in the system. The students with postures of engagement also described their roles but for the sake of understanding the system and the leadership opportunities available to them. Tammy, for example, links her case presentation and other events from the institute to an unspoken tension between the urban and suburban school teachers in the cohort and the potential loss of learning due to the assumptions each group makes of the other. Tammy is also able to articulate her own contribution to this dynamic.

5.7.3 Developing possibilities for strategic interventions

The organizational hypotheses are often built around the schools struggling with a particular adaptive challenge. In identifying the adaptive challenge, students also begin to identify plans of actions at multiple levels in the system. Students working with a more complex perspective are able to articulate interventions they could take up on an interpersonal level (Sally, for example, offers suggestion about her relationship to the students in her class) but also at more systemic levels such as, suggestions for ways to take up her authority as a white woman teacher in relations to the fights between the students of color in her school when interpreted as the students giving voices to unaddressed problems in the school. Sally then offers suggestions for curricular changes to open spaces for discussing topics of race relations in her class and in the school.

In these three steps, students with a posture of engagement demonstrate the application of new learning and of a more complex perspective in their analysis of a leadership situation in schools. For new learning, students grasp the systemic dimensions of adaptive challenges and the misuse of technical solutions. A more complex perspective is evidenced by the use of parallel process to identify organizational dynamics in their cases and in the temporary system of the institute. The students are then able to engage in self-critique informed by their hypotheses and to articulate possible course of action around race for themselves and their school.

5.8   THE POST-RACIAL DILEMMA

An explanation offered by students in both the resistance and engagement groups for not considering the misspelling as racial stereotype is the current culture of the schools where they

teach that can be described as post-racial (Gillespie, 2009). The influence of this discourse on students' learning about race from a systemic/ organizational perspective is significant to note from a principal preparation perspective. This section explores a little more the dynamics of the post racial dilemma that was demonstrated in the institute.

Teachers from urban and suburban districts claimed to not see race as a variable in Tammy's case because the conversation in their school is that "we are past race", or "race doesn't matter". Tammy, an urban school teacher, described how race is viewed in her school: "It was this idea of these aren't problems anymore. We don't do this anymore. This isn't how the world is. And this certainly isn't, you know, how our [high school] is…The gem of a district. It's a diverse school. We have a, you know, gay and lesbian club for students. Why would this be an issue at our school?"

This perspective that racial dynamics are no longer a problem in schools can be seen to function on an interpersonal level and on an institutional level. Tess speaks about not seeing race or "avoiding" seeing race in her classroom. Tammy speaks about the implications of this trend for instructional leadership,

> being an administrator in an urban district and working with people who may refuse to
> see how issues of race and culture impact learning just because of the need to believe that
> they do not exist anymore. That experience from the leadership institute has been with
> me and I mean, it has come up so many times since then.

Many of the teachers in the class are surrounded by a dominant discourse about race in school that claims that race relations are no longer influential apart from as Tess says "exceptional situations." This sets up a complex situation for teachers that for now I am calling the post-racial dilemma.

In the post racial dilemma teachers and administrators are faced with an organizational culture and discourse that affirms that race is no longer considered an influence in schools (or rather it seems relegated to the technical problem of instruction-i.e., closing the achievement gap) and are thus stripped of the opportunity to address the more covert and institutional dimensions of racism. Sam, while demonstrating in many ways a posture of resistance, articulates the dilemma of post-racial cultures in schools,

> And since it was the race thing, I mean we've been battling that for how long? and I mean now kids are brought up that, "This doesn't matter. This doesn't matter. Race doesn't matter. Color doesn't matter. Just we're all equal." So they go through that and they reach a situation where they're faced with maybe a, a problem with a racial tension and equity. And I don't think some people know how to deal with that because they're like, "What do you mean? Why is it this way." And they don't quite understand.

This experience is not limited to school students. This post-racial environment, the teachers in the class find themselves in does not equip them to discuss these issues when they do arise. Tammy's case seems to be a case-in-point.

The power of this enculturation is such that the lack of discourse about race comes to influence the perspective taking ability of teachers and future principals. The school setting and the race of the teachers do not seem to offer a mitigating influence. Both suburban and urban teachers and white teachers and teachers of color described this enculturation. But only students with a posture of engagement actively seek to apply racial lens to analyze and critique their practice and their schools as organizations.

The post-racial discourse amplifies the double bind in which teachers of color may find themselves. Tammy who presented the case and has continued to reflect on her school since the

136

institute describes the tension she feels in her school and in the cohort, "When I learned of the name as racial stereotype issue I was embarrassed because I wasn't sure how to approach the problem because race issues are considered 'non-issues' in our building" and "I've been so conditioned by my colleagues that race was not an issue that when it was in my face, while in an informal authority role, I was unsure of a solution that would not completely dismantle our building." While filling her up with a sense of uncertainty and powerlessness, the post-racial dilemma places teachers of color, like Tammy, in a particular bind that she describes in reference to the cohort and the faculty of the class that followed the institute,

> I think even with the instructors, when they [issues of race] come up, it's sort of "let's see
> if the students will pull out these issues", and sometimes I feel like they're surfaced and
> sometimes I feel like if I don't bring it up, it won't be mentioned.

Teachers of color who do not embrace the post-racial discourse become unwelcomed representatives for issues of the past. This leaves the teacher to choose between sacrificing personal commitments (e.g. justice, identity, education) or sacrificing institutional effectiveness by becoming labeled as a troublemaker (Obholzer & Roberts, 1994). Tammy knows the perils of being locked into informal roles often attributed to black females in leadership (Dumas, 1985) such as "the angry black woman." She manages carefully if, and how, to present what she sees to colleagues in her school, her internship and in the cohort in order to continue effecting change. This means often holding back sharing what she sees. She is living first hand the reason Heifetz and Linsky (2004) call leadership a dangerous task.

Case-in-point teaching opens a possibility to examine the often unspoken dynamics of schools. It creates a space to engage in conversations about difficult subjects. This case study reveals the complexity of these conversations and the obstacles to having productive

communication about emotional topics such as institutional racism. Yet the students in the cohort demonstrate the importance and the challenge of equipping future school leaders to have such conversation. While it is not an explicit objective of LIFTS, other programs such as the doctorate in education leadership at Harvard have come to a similar conclusion and have made one of their learning outcome that at the end of the program students should be able to equip to speak about issues of race with anybody in any setting (Spence, personal communication, 2010).

As *Time* magazine's (Rodriguez, 2010) recent article about trends in the next 10 years points out, the shifts in demographics are coming to the schools that LIFTS graduate will lead and while the post-racial narrative described by the students in the institute is being embraced by some schools, whites as a majority are likely to be the most affected by these changes. The post-racial narrative may be powerful and appealing but it may not be sufficient to match their experience of the socio-cultural changes of becoming a political minority.

5.9   THE MISSING VOICES (JIM, TARA, LUKE, TOM)

I must acknowledge that as significant as Tammy's case presentation was to a number of students, not all of the students' experience is accounted for in the analysis presented above. Four students out of twelve did not contribute significantly or at all to this discussion. Two of those students finished the institute but did not complete all the course work for the summer term and subsequently dropped out of the program. The other two students continue in the program but either did not submit written material about Tammy's case to me for review, or did not write about Tammy's case in their final paper about their learning during the institute. Only one of those two students agreed to be interviewed following the institute. While all the students

interviewed were asked about problematic moments in the institute, they were not probed about Tammy's case unless they mentioned it. Jim was the only student not to mention the case in the interview.

What do I make of these missing voices? I am not completely sure. The students who dropped the program either refused to be interviewed or did not respond to multiple invitations for the follow up interview even though they were participating in the study. While I know the students who left the program had a number of reasons, I suspect for one of the students the experience of the institute was a contributing factor, although I have nothing from my reflections on the class or his writing that suggests that the discussion around Tammy's case played a significant experience in his disappointment with the course.

The students that remain in the program but did not mention Tammy's case were also the more quiet students in the group and by playing more of an observer role in the discussion of Tammy's case may not have experienced the case as significant.

5.10   SUMMARY

This chapter describes one of the large group consultation groups during the institute. As the part of the second reflective cycle, the story of Tammy's case highlights how the consultation process helps students encounter new points of view. The new points of view challenge students' perspectives on systemic dimensions of problem in their leadership failure cases. The students' reactions to encountering a different point of view range from a posture of engagement to a posture of resistance. Students with a posture of engagement demonstrate more complex learning about system as they describe alternatives for intervention in their schools. The theme of race as

it was suggested in the case, raises several problems and questions for principal preparation and case-in-point teaching including developing classrooms where students feel safe enough to have difficult conversations, attending to the influence of the cohort dynamics on individual members, and the potential abuses of one's instructional authority. The chapter also describes how case-in-point teaching can open for reflection and study some of the complex issues facing schools such as the influence of the post racial discourse.

6.0   CHAPTER SIX: SELF-UNDERSTANDING AND ROLE ANALYSIS

A second area in which the aspiring principals enrolled in the institute experienced a growth in perspective is self-understanding. By self-understanding I mean a changing way of thinking about one or more dimension of the self. For some students the object of these perspectives shifts were internal or intra-personal such as discovering an assumption they didn't realize they had. For others, the growth was a new understanding about themselves in relationship with others. These more interpersonal dimensions included for example how their actions contributed to a conflict with a colleague. Thus a broader perspective on the self was new insight on either an intrapersonal, interpersonal dimension, or both, of how they think about themselves. The identification of the roles students played in their case or in the institute through role analysis offered an important avenue for the development of these new perspectives. This chapter examines the different ways students' perspectives about the self shifted.

6.1   DISCOVERING STRENGTHS

The Strengthsfinders online assessment that students completed prior to the institute helped several of the students better understand the roles they play in groups or in their leadership cases.

Jim came to understand his desire to gather information in decision-making in a new way. He wrote,

> One part of my failure, which I learned from Rath's (2007) Strengths Finder 2.0, was that I am a person who needs a lot of information. I want so much information so I feel competent in my leadership. On the contrary, requiring too much information for the amount of time that is given to make a simple decision will, in most situations, hinder my ability to lead.

Jim links this new understanding of his strengths to his leadership style and recognizes the possible consequences of his tendency to always want more information for his leadership. He also notes the challenge he faces to learn to grow in his comfort with feeling like he doesn't have enough information. Becoming more comfortable with uncertainty actually becomes his improvement goal as he leaves the institute.

The Strengthsfinders assessment helped the students gain a language for ways of being that seemed to already know about themselves. In that way, the Strengthsfinders assessment helped some of the students translate tendencies or preference in their ways of working into capacities they could build on as they become principals.

6.2   DISCOVERING IMPACT OF SELF ON OTHERS

For many students, the learning comes through discovering how their actions or assumptions have unintended or unrecognized impact on others. For some this occurs through identifying competing commitments they hold. For others it is identifying a gap between their intended purpose and the actual actions. Some students make a clear connection to their learning as a

discovery of their own personal adaptive challenges. For most students this occurred primarily as they reflected on situations outside of the institute.

Sam, a young teacher with many extra curricular responsibilities including coaching a varsity sports team, came to realize a hereto-unexamined consequence of his over-extension through his work commitments. Sam, through the group consultation to his leadership failure case and his Immunity to Change exercise, came to realize that his goal of building his career and the financial security of his recent marriage - ways he saw of demonstrating his care and responsibility for the people he loved - was actually creating distance in those relationships. As he says:

> but then I, through sitting back and looking at that, "Well, hey, I'm kind of neglecting, so the people who were closer to me."…Just to prove that I can do this. And they know I can go out and do that. I don't need to prove it. Um, and by me doing that, I'm really in a way, um pushing them away

During the institute Sam reflected on his commitment to the financial security of his family and how the decisions he was making in order to demonstrate his worth to the district was in direct opposition to his commitment to show his care for the people he loved. He noticed the demands on his time that the numbers of commitments he had made to the district were exacting. These commitments were actually making him less available to those very people he wanted to care for. Sam discovered that his actions were actually having the unintended consequence of undermining his goal. He says:

> But that was helpful because then I realized I really don't want to be that busy. I want to go and say no, turn down, I don't want to do the [sports] team…Because I, I just don't have the time. Or I don't, I don't want to do your [extra curricular project] because I

143

don't have time, or I just, I can't do it with my schedule. For me that was just, for years I didn't want to say that because I felt bad because it's like, I'm shortchanging the kids, or shortchanging the administration, or shortchanging myself because really I could do that, I could go out there and do a better job.

Upon this realization he decided to make a change. As a result Sam says he now considers his other priorities before saying yes to another commitment. He says he doesn't feel the need to prove himself to others. Sam describes a freedom in this new perspective. Sam demonstrated a change in perspective where he discovered the conflicting relationship between his goals and its impact on his relationships. Like Sam, the discovery of holding competing commitments and the impact of this often-unacknowledged tension came for many students through the completion of the Immunity to Change exercise.

For a couple of students, a new perspective on the self came through gaining a new understanding of how one's actions contribute to a relational conflict. Tess was not the only one who came to a new understanding of how her actions in her leadership case-- actions that she had previously considered reasonable, beyond reproach and filled with good intentions-- may have actually communicated unintended messages to their colleagues. These unrecognized communications may have contributed to the conflict with their colleagues that were the symptom of their respective leadership failure cases.

For Tess the realization occurred during the consultation group in which she presented her leadership case. She says,

I think the most powerful intervention [of the consultation] was when the group made me realize that I personally didn't do anything to attempt to make amends with Sue. In my mind, I had gotten over the situation and had hoped that Sue would too for the

144

benefit of the students. Possibly by assuming that, I avoided the work that I needed to do to correct the situation.

Tess through the feedback from her peers uncovers an assumption she held about the conflict with her colleague tutors from the previous year. Tess, building on her assumption that her colleague had equally gotten over the problem, sought to offer a new start for the relationship at the beginning of the following year especially as Tess now had been given the task of managing the tutors' schedule. This indirectly placed her in an informal supervisory position in regards to her colleague. Instead, the relationship grew increasingly tense over the year with several public outbursts and the other tutor skipping the last 8 days of the school year. Through the consultation process where she blamed the other teacher for the continuing conflict that led to her experience of failure, Tess realized how she contributed to the perpetuation of the conflict with her colleague and its impact on her failure in a way she had not considered before. In addition, her peers helped her to consider the failure from a more systemic perspective by identifying the informal role she played for her school. Like Tess, for many students in the institute identifying the roles they play in systems was an important part of shifting their self-understanding.

6.3   ROLE ANALYSIS

One of the concepts of group dynamics introduced in the course is the way that groups and systems functions through the development of formal and informal roles. This concept is introduced through the readings (Mack, 1996; Obhozer, 1995; Wells, 1985). Formal roles are described in adaptive leadership (Heifetz, 1994) in the context of authority and leadership as

organizational positions. Case in point teaching offers an opportunity to reflect on the ways one takes up and plays roles in groups and organizations. Students experiment with formal roles in their assignment to be presenter, consultant and Designated Authority at each case presentation through their consultation group. Informal roles are introduced in the context of role analysis as an organizational diagnostic tool. For most students, role analysis comes to be a significant point of learning that contributes in their changing perspective on themselves. Identifying roles also helps students develop new understandings about leadership and organizations. This will be explored in the next chapter.

There were two important areas in the students' learning through role analysis. The first includes the identification of the roles the students played in various settings in and out of the class and how those roles come to be. The second area of learning focuses on one's relationship to the roles one plays, such as how one comes to play a role for a group and the ability to distinguish self from role.

The most common area of learning in role analysis for students is beginning to identify the roles they played in the institute or in their case study. A few students consider settings outside of the class and began to identify roles in other areas of their lives. Some students also began to identify patterns in the roles they played and drew parallels between the roles they play in different settings.

6.3.1   Identifying roles in their failure cases

Through the consultation groups, a number of students came to understand in new ways their interactions as informal roles that they played in their schools. A new understanding of the roles

they were unknowingly playing helps them develop new perspectives on their leadership failure. Mary says:

> It was not until the second case was presented during the Institute that I understood what leadership failure meant in regards to the role that I hold at the work place.

Through the institute, Mary begins to consider her leadership failure in a new perspective. In her initial description of the case, she viewed her leadership failure as an interpersonal conflict between herself and another teacher. Through the consultation, her understanding shifts from what she calls being "stuck in the 'me' mindset" to a broader perspective that she describes as being less about how the problem affected her and more about the problems themselves. The process is not an easy one for Mary. She writes in her final paper about the presentation experience:

> My consultation group began asking questions that immediately made me defensive. I found myself making excuses for my behavior and trying to get them to refocus on the true problem, my teammate.

Yet through the work of her colleagues, she begins to see her contributions to the failure in a new light. Mary says: "Holding me accountable through the discussion, they were able to convince me that I had no control over another adult's actions, but I could control my reaction to them." This changes the way Mary thinks about what she has influence over and what she is responsible for. The new insight is an important lesson for Mary as she identifies some possibilities for change (such as, focusing on not taking responsibility for her colleague's actions) as she prepares to return to the situation of her case when the school year begins. Through a shift in the way she understood herself in relationship to her colleague, Mary says she is able to release "the stress and resentment that I had felt for an entire school year." By the end

147

of the institute she is able to analyze her leadership failure from a much more systemic perspective by also identifying her role in relationship to the principal and to the other teachers in the building. Mary's case and her learning about leadership in particular are further explored in the next chapter.

6.3.2   Identifying roles in the institute

Through reflections on the feedback from their colleagues, some students come to identify the informal roles they played in the institute. Sam, for example, came to realize that he played the role of the group's spokesperson. He identified this role by recognizing moments in the life of the cohort when he was often granted informal leadership. He said in his final paper:

> This became especially clear on the third day after reflecting on the group activities and discussions on the previous two days. In almost every instance where the group needed order or leadership, the individuals would turn their eyes towards me and look for a response.

In this passage Sam names the recurring contexts in which he notices the group making unspoken demands of him. In describing the characteristics of the situations in the life of the group when the members of the cohort invite him to act, Sam links the role as a response to a demand by the group. He notices that the role is made available to him by the group and that the group members, whether in conscious collaboration or not, are assigning him this role. Whether Sam came to this understanding through reflections alone or through conversation with others in the cohort is unclear since several other students identify Sam's role of spokesperson.

My attempts to help Sam to be more aware about the role he was playing during the institute caused him moments of frustration. Early in the institute, the way Sam took up the role

he did seemed to me to be reactionary and unreflective. As soon as there was a moment of awkwardness or tension in the group, Sam would jump into the conversation. This was first evidenced during the ball-throwing incident and reinforced at other times such as during a group problem-solving exercise or his volunteering to be the first public presenter. Although Sam continued to play this role during the week, with some distance from the institute, he articulated how he was serving the group by taking the role. Reflecting on the last small group of the institute, when Sam's group observed the other group consult, he said

> Whether I knew it or not, I regulated the pressure or anxiety within the large group in order to keep the stew from boiling over. If I did not make the comment and no one else regulated the anxiety level, then Sally's group may have out right refused to participate in the activity and the learning opportunity would have been lost.

I am not convinced Sam considered his actions as a role at the beginning of the week. I continually challenged Sam during the week because I didn't think Sam noticed how his outspoken role might detract from learning opportunities by helping the group avoid wrestling with issues it faced. Early in the week Sam struggled with my suggestions for him to reflect on the impact of his actions on the group. He would get quiet for a little while after my comments and sit with a hurt or frustrated look on his face. Sam sat closest to me on the left, so my comments may have felt more personal and intense due to proximity. I wondered if his sitting choice might have also been a reflection of his role. By being closest to the instructor, he was physically at the boundary between the instructors and students - in a sense symbolically protecting them. I also noticed the parallel between Sam learning about his role and his learning about the impact of his work commitments mentioned earlier in the chapter. In both cases, Sam appeared unaware that is action could serve multiple purposes or have conflicting impact.

Although Sam can see the competing commitments in the situation with his family, he seems to struggle to identify how the role he plays may serve multiple, and sometimes competing, purposes for the group.

While Sam identifies the role he played many times during the institute, his understanding about this role showed a growing complexity over time and may also hint at perspective-taking edge. At the end of the institute, Sam reflects:

> During discussions about controversial topics or group activities where someone needed to go first, the group would often grant me informal authority to take the lead. While other members of the institute are very capable of leading as well, for whatever reason they choose not to and will most often look for me to take charge and lead.

Sam can identify the role but initially in his final paper, he is unsure as to why he is assigned this role. He briefly mentioned his physical characteristics and gender as a reason group members looked to him in times of uncertainty but Sam seems more confident that the reason is the way people felt about him and their relationship with him. He attributes his success in the role to the trust group members have in him. In other words at that time, Sam holds a very interpersonal understanding of the role he plays in the cohort: the role is presented to him because group members have trusting relationship with him.

A month after the institute, Sam reviewed the role he played in the institute during an interview. Showing an integration of concepts from adaptive leadership, he attributed the development of this role to the way he invites feedback from the group and offers guidance in those moments. Sam comes to see that the role evolves from the interactive nature of the situation in which the group finds itself *and* what he does--in this case, his tendency to take initiative, to "get the ball rolling" as he says. He describes his role in the following way,

what I found out was that people tend to look to me at times for leadership, and, ah, in a way I turn it back on the group and say, "What do you think or how do you, how do you want to get there?" And based on the feedback I get back from the group, that's where I tend to, I guess, try to direct them in that manner, where they want to go. Tell me your outcome, your desired outcome is. I'll try my best to get you there. But, yeah, I don't know.

Sam's understanding of his role has changed. His explanation now moves beyond the way people feel about him to soliciting feedback and providing direction to the group. There is a shift in his analysis of the role from focusing on the needs of the individuals to describing the role in function of the needs of the group. Sam's description here and elsewhere while shifting to the group level, is primarily related to the task of the group- his role is to help the group move forward. Evident in this understanding is Sam's new perspective on leadership and the role of the leaders to "give the work back to the people", a tenet of adaptive leadership.

Also influencing Sam's understanding of his role is the importance of preventing conflict in the group and mediating between different factions and opinions. Sam's perspective on his role has shifted to a broader group-level analysis yet it seems to continue to be constructed in part around the relationships of the individuals in the group. Sam sees his role as trying to maintain harmony when the group is uncertain about how to move forward. This interpersonal focus that remains is echoed by another student who sees Sam playing the role of protector in the cohort. A month after the institute, the interpersonal dimension remains an important part of how Sam thinks about the way he takes up roles in groups and the way he describes becoming a principal.

While Sam's understanding about how he comes to play the role he does in the institute changes over time, there is a generality in his new understanding. He doesn't sound quite convinced by his own explanation as to why in these uncertain situations when tensions arise, the group turns to him. It is as if he is trying on a new perspective on for size. The tenuousness of Sam's explanation combined with a shifting perspective that remains rooted in a narrower perspective raises questions about the possible developmental nature of Sam's learning. Sam in this may be demonstrating a way of making-meaning that is in transition.

Sam may also be describing a perspective-taking growing edge. His analysis grows in complexity as he now identifies his role as a function of the group process-- the need to maintain harmony in order to accomplish a task. He experiences the group as he writes "consciously or unconsciously" influencing him but he does not identify how this process may serve needs for the group-as-a-whole beyond getting the task done. Sam does not seem to entertain the possibility that the role may serve multiple and possibly contradictory purposes for the group. Sam's explanation for his role remains primarily interpersonal: his style engages group members, makes them feel included, and facilitates a harmonious resolution to getting the group to do its work. What he does not identify is what other purposes it may serve for the group for him (as opposed to anyone else) to be taking this role.

The new perspective Sam develops on the role he played in the institute leads Sam to important leadership learning about himself. He comes to realize that the group repeatedly asked him to lead in situations when he didn't know what to do. He discovers that prior to the institute he held assumptions that leaders always had to know where to go. He notes that the role offered him a leadership challenge that took him into uncharted territory. But he does not address what investment (beyond getting its task done) the group might have in placing him in this

uncomfortable position in public--for example that it is much easier for one person to feel uncomfortable and be offered the risk of leadership than for the whole group to feel uncomfortable in mobilizing its own learning by addressing some of the unspoken dynamics that were present in the cohort such as the competition between the urban and suburban teachers or the contempt some students retained following Tammy's case discussion.

Through reflection on the institute, Sam comes to identify this role he plays in the cohort. As his understanding became clearer, his sense about how he comes to play this role shifts. He also learned that this role, which is a familiar one for him, is not always beneficial to him or to the group and he attempts to take a more reflective posture to create space for others to speak. This is not a perspective that comes easily to him and he continues to resists the implications that there might be other reason for his valence. Sam mentions how his personal characteristics (the physical presence he has due to his height, for example) and his gender lead others to look to him but he skirts around how his personality and needs might also contribute to his playing this role in the cohort. Nonetheless this is a broadening of his understanding of himself and his interactions in groups through identifying the roles he plays.

What Sam does not seem to notice about roles in groups is something that Mary articulates in her interview: when one takes a role in a group, one is doing the work that others are reluctant to do. She reflects on the dynamics of her school:

> And the funny thing is people don't mind. It's, it's my, people don't mind if I take control over it. They just don't want to do it. So, nobody would ever complain about what I've done, because I've done it and they don't want to do it.

Mary is reflecting not just on the role she plays and how her personal tendencies (how she is organized and gets things done) contribute to her playing that role. She also recognizes

that she may have unknowingly had an investment in playing the role she did in her case. She writes that through her management of the conflict, she worked harder and had her best year of teaching. In her description of the relationship of the role to the group, she links the role to the task of the group (like Sam's analysis) but she also sees that, at the same time, her role serves the needs of a faction of the group—the faction who is unwilling to do the work. The role serves a work function - in helping the group to accomplish its task - and it is also serves a maintenance function (albeit a defensive one) for the group – helping part of the group in its (literal) work avoidance and (figurative) work avoidance of dealing with lack of accountability. Mary can see how the role serves multiple, and at times, conflicting needs for the group.

Mary seems to construct the relationships around the role at a slightly more complex level than Sam. As a result Mary can articulate how she will be able to look out for such situations, how she may react and how difficult it will be to try this new response to the demand to play this role with her colleagues with new boundaries. Sam, on the other hand, while he learned about the ways he was undermining his own, and also articulates new awareness about roles, seems to think about taking up a role as a responsibility to the group. While both describe a broadening perspective on themselves through role analysis, Mary offers a slightly more complex perspective on the relationship between self, role and system.

6.3.3   Identifying valence for roles

Many students describe how their growing understanding of their strengths and weaknesses as individuals and as leaders effects the roles they play in organizations. As we saw earlier, Sam believes that his tendency to engage group members to gather feedback about a task at hand leads him to play the role of spokesperson.

154

In contrast to Sam who articulated the purpose of the role for the group but understood the reason he played the role simply as his tendency to take initiative, Tammy offers an example of someone who is able to grasp the investment she has in the roles she plays in groups. Tammy who identifies her role as the taskmaster of the group says:

> Whenever I work in groups I always like to be the one to get the group started to avoid anyone thinking that I'm incompetent or to know that I'm really insecure about my ideas. Also, I thought that by being the taskmaster people would naturally take me to potentially be a good principal in training and not see my insecurities with making decisions.

Tammy links her learning about her improvement goal in the Immunity to Change exercise at the end of the institute to identifying the role of taskmaster she played in the institute. She then is able to realize that the role is a survival mechanism she uses in many group settings and that this role meets the needs of the group and self.

Tammy is also aware of the way her role is impacting other students. Halfway through the institute Tammy, who I think had teaching seniority in the cohort, considered how she might be silencing one of her classmate Tara, a younger white woman with only a few years of teaching experience who had also been a student of Tammy's. Not simply by age and former student-teacher relationship but also by her choice of seat next to Tammy, Tara was in Tammy's shadow. Aware of Tara's minimal class participation, Tammy, in an experiment in leadership, changed seats in the large group sessions to move away from Tara. She was the only student to change seats in the large group during the length of the institute. Tara did speak more as the week went on and while she did not explore the possible reasons for the shift during the institute in her written reflections, Tara did recognize that she had played a role that was quite unusual for her in learning environments, that of the quiet one.

155

As a learner, I have seen a great shift that I had to cope with throughout the week. I used to learn through my voice by sharing what I was learning aloud with the whole group. I have before just sat back and listened to everyone else and their perspective. This week, I went to the extreme opposite and just learned through listening. Fortunately, my small group inadvertently worked with me to find the balance because the most I can get from learning lies within that balance.

Tara notices a difference that being in the institute makes on the way she presents herself as a student and a learner. She is aware of her silence and while at another point she describes the benefit of this quiet/observer role for her learning about adaptive leadership, in contrasting her outgoing leadership outside the institute, Tara also says, "I now see that I crawled back into my shell a little".

Tara's reflections do lead her to new insights about herself. She says, "This led to my new understanding – I'm not yet confident as a leader when surrounded by older, more experienced people. This is crucial to address now because it will be present when I'm a principal". Tara connects this new insight to her Strengthfinders assessment that describes one of her talents as *wooing*. She sees herself exhibiting her wooing by inviting others to speak even if it is to the detriment of her own voice. Yet she does not, it appears, consider why this difference from her normal way of being as a student or as a leader may also represent an informal role she plays for the cohort. Tara joined the study late and did not meet with me for an interview after the institute so it is difficult to interpret her reflections on her role in the class beyond her writings. Tammy in contrast, demonstrates how her attentiveness to her valence for playing a familiar role and the impact that role has on others such as the voices being silenced by her experience and history. Tammy's valuing of others' opinion but also the recognition of the

knowledge lost to the cohort in Tara's silence led her to take actions to change the dynamic of her role.

6.3.4   Contributing to the role of others

A few students analyze their role in a way that moves beyond identifying their roles, the valence they might have to play these particular roles and how the way the roles serve multiple and conflicting needs of an organization. One student in particular identifies the gap between her espoused educational philosophy and her actions in the institute. Julie says:

> I guess I just was really surprised because I do have that perspective that peop…you meet people where they are… And bringing, bring what they bring. And just because they're in a different place, the thing could be equally important. You know? So, sort of, confronted with that, I believe that but how do I deal with it when I'm in a different…s…I, I, I was in a different role and can I as a, as a student, how well did I do with that? Not very well.

Julie who is used to working with adult teachers as a district-level professional development coach, discovers that as a student in the institute she may not be as compassionate towards some of her peers as when she is a teacher of teachers. On this insight, Julie begins to take responsibility for her contributions to the role in which she is placing for another student. Julie reflecting on her relationship with Tess writes during the institute,

> But I also wonder if, while I would not suggest I used Tess as a scapegoat outside my own head, that there is some way in which for me she is representing more than just herself and bearing sins in my eyes; she is epitomizing a group of people who want to deny issues of race and think that just because they themselves seem to not have race issues that they are not contributing to the problem….The fact is, her defensiveness is not

157

surprising, it is likely that I have attributed things to her that are not fair. I think it is my right and responsibility to be concerned, to acknowledge that this could be problematic, but that is different from lumping her into a group because of a small incident.

Julie's analysis is about a relationship but it is a much more complex view of the relationship of two people than what Sam and Mary described earlier. Julie is concerned about the wellness of Tess and how the role Julie is constructing for Tess could be destructive to her. Julie is able to describe the characteristics that make Tess susceptible play this role (in this case, her defensiveness to a discussion about race in Tammy's case). But unlike Sam, Julie is able to see how Tess represents more than herself; that her relationship to Tess is more than an interpersonal relationship. Julie is able to articulate and take responsibility for the way she is contributing to the formation of Tess' role, and how having Tess play the role of "the teacher resistant to acknowledge race issues" serves a need for Julie (in her understanding of herself as someone passionate about race issues) and for the group in relationship to race as a societal issue epitomized in school failure statistics ("those teachers who are blind to race are a big part of the problem").

Julie's analysis offers a more complex perspective on roles than Sam or Mary. Because Julie described the institute as given her a language for things she already knew, I am inclined to believe that Julie's analysis does not describe a new, broader perspective but rather the honest application to a situation that occurred in the institute. Inasmuch as this honesty reveals her own contribution to a problem she may previously have externalized, Julie's analysis may indeed have contributed to a new perspective on herself through a taking responsibility for her own projections.

While Julie believes this role attribution remains strictly in her mind, it is seems more than coincidental that Tess comes to think about her role in her case study and in the institute as a scapegoat. During the institute, Julie did not publicly engage Tess around the scapegoat role and her projections, so it hard to do more than offer the observation and that, as was discussed in the last chapter, the instructors may have also contributed to Tess' role.

6.4   CHALLENGES IN ROLE IDENTIFICATION

While several students talk or write about learning about roles, not all of these students who are using the language of role analysis seem to be able to articulate clearly what the informal roles are they played in the institute or in their case. In other words it seems that some students can articulate clearly what role they played in the cohort and how that roles served the needs of the group and how their leadership strengths, weaknesses and personalities makes them more likely to play the described role. Others describe their learning in more general terms or seem to focus on one of those three aspects.

Jim for example articulated a difficulty of thinking about roles. His analysis focused more on formal roles. Nonetheless he saw the encouragement to take initiative and exercise leadership in the group influencing the way he thinks about roles. In his last interview, he talks about the shift in the role of student case-in-point requires,

So that kind of made me step back and think about it. Um, like getting that I think that's what the instructors wanted. Like it made me step back and think like, actually reflect on my behavior sometimes. Like, think that you have to take up different roles or wear different hats in different situations.

Jim broadly described a similar introspective or reflective process as other students to identify roles. Yet his process of learning is guided by trying to identify what the instructors want.   In addition, his description of roles as different hats one has to wear suggests an understanding of roles as formal and defined by the individual or context (the class) but not necessary of roles as informal functions that individuals have a valence to take up and serve the unspoken needs of a group managing its life and work. While Jim's writings reflect a conceptual description of roles drawing on sources outside the course syllabus, the application to himself and the institute is remains vague.

Jim's role analysis is most evident in his reflection on the difficulty of entering the course. Echoing the comment noted earlier, Jim attributes his confusion to his expectations about how to be a student and the demands case-in-point teaching makes on students to construct the role of a student as active and self-initiated. Jim says,

> I think, maybe, because we were, I was at least, a little confused maybe because it almost seemed like there was a crossed signal between, I was coming in with the mindset that I'm a student. But I think what the instructors were saying was, "You're a leader."

The experiential nature of case-in-point teaching makes demands on the students. Jim describes the challenge for some students to take up their role of student in this new environment that requires them to take initiative in learning about leadership by doing leadership in a temporary organization. Jim also raises questions about the relationship between the perspective taking ability necessary to do role analysis and thriving participation in case-in-point teaching. Even more important, if case-in-point embodies many to the instructional recommendations for aspiring principals found in the literature, Jim's comments raise questions about unspoken perspective-taking expectation of principal preparation programs.

6.5   DISTINGUISH SELF FROM ROLE

In understanding the roles that they come to play in relationships, groups or organizations, student are introduced to the idea that to thrive as a leader, they must learn to separate their sense of self from the role that they play. Mary actually cites Heifetz (2004) in her final paper

> …the distinction between role and self can be life saving. Making the distinction enables one to externalize the conflict; thereby focusing attention on the issues and giving the conflict back to its rightful owners (p. 265).

> One recommendation Heifetz offers is to understand others' reactions to you as a leader to be in part reactions to the role you play represents for them. While this is a fairly complex concepts and one could argue requires a particular developmental level, Mary and several students seem to connect with it. Tess articulates this new notion clearly and the freedom she finds in it when she says:

> It just made me realize that some people aren't reacting to me personally. I mean, the, in my professional life of course… That they're not reacting to me personally. They're reacting to situations and sometimes that I need to look at that as, as a different perspective and not necessarily as not to take it personally and not to take that as, okay this is my fault.

> This quote comes from the interview six months after the institute. Given the important and difficult role Tess played in the Institute, her statement reflects learning about how to manage difficult situation. It also reflects a shift in perspectives that begins to separate her sense of self from others' reactions to her. This is a contrast to her experience of Tammy's case described in the last chapter. In addition, Tess applies this new perspective to her school context suggesting a shift in perspective since the institute.

Sally offers a more complex understanding of this differentiation between self and role as part of the reflection-in-action practice of *getting on the balcony*. She says in her interview a month after the institute,

> I think [getting on the balcony] means to me, separating myself from the situation, and looking at the role I'm playing within in a group, instead of looking at it from an intra-personal perspective. And, trying to see what is going on around me outside of my own perspective, so, from the different group perspectives, just distinguishing myself from the role I'm playing.

Sally describe a move from reflecting on her experience of a group and its influence on her to an analysis which begins by looking at the group from different perspectives and trying to identify patterns of interactions that may constitute a role she is playing in the group.

This is seems to be a more complex way of analysis than Tess. Tess is beginning to see the context of the interaction as influential and separate from her--that others' reactions are not all about her and something she may not be responsible for. Sally on the other hand displays a clearer understanding of the difference between her self and her experience of the interactions and firmer grasp on how to try to make sense of the situation in order to take responsibility for herself. In one of her course written assignments, Sally describes this perspective of herself and the roles she plays as a new learning that was crystallized through her case presentation.

6.6   SUPPORTING LEARNING ABOUT SELF

Several students referenced the Immunity to Change exercise (ITC) as contributing to the new perspective about themselves. As was described earlier in the chapter Tammy explicitly linked

162

her learning about her roles in the institute to the ITC. Sam drew a parallel between the ITC and his competing priorities at home and work. Another student, Bob describes how the ITC contributed to his changing perspective of himself. Recalling listing the behaviors that undermine his goals, he said,

> I guess it begs the question why are you, why would a person have these behaviors?...Um, so for me, when I was previously thinking, "Oh, this isn't so bad, to be this way." And then over the course of the week I realized, "Well maybe this is something that needs to be changed." Um, and then, was, "These are all ways that I'm preventing myself from changing and, wow! I've really kind of stacked the deck you know against myself." Um, I didn't realize that I was doing all of these things that were preventing me from, I thought I had more control over…over the issue than I really did. Or there was more to think about if I wanted to make a change in my head than I realized.

The parallels Bob saw between his role in the institute and in his case study informed his ITC goal. The ITC helps to focus some of the areas for growth that the students discovered about themselves. As such, as Bob describes, it helps enumerate the behaviors that contribute to the valence students have for playing the roles they did. Kegan and Lahey (2009) believe the ITC can also contribute to micro-developmental shifts by bringing into perspective new insight about the hidden commitments that drive behavior. Since we did not complete the exercise in class, the facilitation of the ITC was less than ideal. Nonetheless, several students like Tammy, Sam and Bob, found it to be an important contribution to new ways of understanding themselves.

The ITC, informed by Kegan's theory, also encourages students to think dynamically through the identification of competing commitments and the language of equilibrium. There is a parallel between the dynamics of competing commitments and the dynamics of roles in groups.

While none of the students explicitly names it as such, I wonder how in the future an earlier emphasis on the ITC might help the students who demonstrated less complex ways of thinking about themselves and the roles they played in the institute.

6.7   SUMMARY

Bob's reflection in his informal evaluation of the course captures how role analysis helped students gain a broadening perspective on themselves in the institute. He wrote,

> My view of myself as a learner changed in that I am not the "greatest student," but rather more than knowledge and classroom competencies/behaviors, there are skills that I need to learn (namely perspective taking), and roles that I can learn to decline – and still feel a sense of worth.

Bob describe a shift in his understanding of himself as a student and that being a student is a role he has learned to excel at and draws value from. His understanding of being a student as a role has reframed the way he thinks about himself as a participant in this program. He describes a new assessment of himself and his learning goals. And finally he demonstrates a new understanding about roles and groups and the importance to maintain the distinction between self and role. This for Bob is a new perspective, one that he sees as necessary but is not yet comfortable with. Like Sam, the tenuousness of this new perspective (Bob expresses concern about his ability to continue applying the learning from the institute) and the subject of it (i.e., his sense of worth) point to a shift for Bob that may also developmental in nature. While I would not consider all the learning about themselves students described as developmental, many gained insight about themselves that they quickly applied to areas of life outside of education. The

Immunity to Change exercise, an application of Kegan's adult development theory, helped students gaining insight on their commitments and identify the valence they have for playing certain roles.

7.0   CHAPTER SEVEN: PERSPECTIVES ON LEADERSHIP

7.1   INTRODUCTION

Through their participation in the Institute, aspiring principals experience a shift in their understanding of leadership. For most, the change involves managing a challenge to their long-held assumptions about leadership. Many students prior to the institute express an understanding of leadership rooted in the notion of leader as hero or as all competent. As described in Chapter Two, adaptive leadership, the theory taught through case-in-point, provides an alternative to this culturally dominant view of leadership. The students integrate their prior assumptions about leadership and leaders with the concepts of adaptive leadership introduced in the course to construct new understandings of leadership. This chapter describes the variations in the changing perspectives on leadership the students experienced. I note the methodological challenges of analyzing changes in perspectives and conceptual understanding about the theoretical frameworks of the course. I conclude that while increased complexity of understanding of leadership is found in the students, it is difficult to interpret this shift in perspective as developmental. Finally I raise questions about the influence of past experiences of authority on students' changing perspectives.

7.2   LEADERSHIP ASSUMPTIONS

Following the institute, students described the assumptions they held about leaders or leadership prior to the course. Their assumptions reflect some deep-seeded American beliefs such as the unemotional rugged individualism present in the metaphor of leader as hero (Campbell & Moyers, 1988). Some of the characteristics of leadership the students held before the institute are:

- Leaders must always have the answers.

Sam says:

For me, what was good about the Leadership Institute was to figure out that as a leader you don't always need to always know the solution, or have a solution to the problem, but I guess have a way of guiding the group to a solution through discussions or analysis of information in a way just help the I guess promote the discussion on the analysis from the group to in a way find out the solution.

- Leaders can do everything.

Tammy says:

By the end of it I think I was able to, I was able to do a lot of reading to look at how groups work together and how maybe some of my, um, prior dealings with group sort of reinforced that the leader had to be in charge of everything…Because all of my other group encounters involved leaders who took care of everything.

- Leaders must be unemotional and must not appear uncertain

Jim says:

In my leadership role, I look at it and think that um almost like I'm at a poker table, you know like I can't let them see how I'm feeling. …Or let them see that I'm confused about

these issues.

  - Leaders are in control and maintain order

    Bob says:

    Formerly I had considered a leader to be someone who carried out policy and procedure,

    protected the people, and maintained order in a system.

The students' descriptions of their assumptions about leadership reflect a cultural belief of the leader as "superman". Traits theories of leadership draw on these cultural assumptions and seek to identify the individual abilities/skills/traits that make a leader effective. This approach raises questions and the research upon which it is based has been challenged a number of times (Heifetz, 1994, p.282). One line of critique is that research about trait theory is usually based on the study of individuals in high-ranking positions such as CEO's or politicians. So claims about leadership traits may be claims about leadership traits or traits about accessing powerful organizational or political positions. Despite the critiques, trait theory is a perspective on leadership that is deeply engrained in American culture and remains a powerful influence. The title of the forthcoming wide release documentary on educational reform, *Waiting for "Superman"* (Guggenheim, 2010) may be a statement about the desperate state of schools in America but it also reflects the popularity of the metaphor for leadership. The students' critique of their own leadership during and after the institute testifies to the enduring power of trait theory even when presented with alternative theories.

From an educational leadership perspective, the students' assumptions about leadership raise troubling questions. If the "superman" model is the primary view of leadership current teacher leaders have, what are the implications for their development as principals? What do these beliefs about leadership from teacher leaders recommended to become principals reflect

about schools as organizations, about the change initiatives in schools, and teachers' unspoken demands of administrators? How are these leadership traits reflected in the current research about leading change in schools? These questions are not the specific focus of this study but offer some interesting direction for future research on the transition of teacher leaders to principal in light of the pervasive nature of this model of leadership among the students of the institute.

7.3   THE EXPERIENCE OF SHIFT IN PERSPECTIVES OF LEADERSHIP

Through the readings and the course, students are introduced to a new definition of leadership (leadership as an activity in relationship to a problem) and gain a new language to analyze leadership. Unlike other students, Julie describes how the institute did not drastically change her views on leadership but that the readings gave her "form and language" to support her practice. She says that the concepts of adaptive leadership are experientially familiar to her thus more comfortable. She says: "So in some ways it felt comfortable but it gave me this whole new set of language. And like I said, it really helped me give a name in particular to the kind of issue I want to tackle." Through the course she gains a language with which to talk about what she knows about leadership in schools. Julie is unique in her distinction between language and understanding. Most students in the institute encounter a new language *and* new concepts about leadership.

After the class, several students voiced the confusion they experienced in their initial reading the theoretical frameworks of the class. Yet despite this confusion, few questions (about this new theory) were raised in the class discussions. Since this was the first graduate class for

over half the students, it would not be unusual for students to withhold their questions for fear of the instructors' or their colleagues' perceptions of them. The few questions that were raised captured doubts about the viability of adaptive leadership in schools. In one discussion, several students argued passionately that veteran teachers who are stereotypically resistant to change would render the use of adaptive leadership ineffective for leading schools because they would refuse to engage.

Looking back I wonder if that particular discussion was a great example of case-in-point that I missed as an instructor. On the surface, the discussion points out that students were wrestling with more than just a new language about leadership; they were encountering new concepts that they were imagining using in their work environment. The response to this reflective act of imagining from some of the students was to question the concepts and to challenge their practical applications in schools. The case-in-point moment may have been that these students were representing the very teachers they were describing. They also were resisting something new. Their resistance as mirrored in the intensity of the discussion was to more than the use of a new language. The new adaptive leadership concepts were challenging (and maybe threatening?) their understanding of leadership and of themselves as leaders. The challenge went beyond theoretical discussion; at the heart adaptive leadership may have been challenging their praxis of leadership. From an instructional perspective what was lost is the opportunity to explore the possible parallel process happening between the topic of the discussion and the dynamics in the classroom of the institute. Students could learn from their own resistance, how to work adaptively with the veteran teachers.

Whether the passion in the discussion represented a resistance to the theory itself, to the dismantling of long-held beliefs about leadership and schools or whether it represents a

170

resistance to case-in-point pedagogy used to teach adaptive leadership is not clear to me. Certainly resistance to experiential learning is well documented (Babad, Birnbaum, & Benne, 1983; Seashore, 1975). What is clear is that through the institute, students encountered a challenge to their understanding of leadership that included but went beyond merely gaining a new language. The students were introduced to new conceptual understandings of leadership and this proved unsettling for many. Several students described having the concepts of leadership they held onto most of their lives overturned. Mary captured this experience when she said, "Having my definition of leadership that I have known for years, dismantled in one week, is a lot to wrap my head around." Mary is talking about more than a definition, what is a lot to wrap her head around is the implications for herself and her practice. Something Mary describes later in the chapter.

The conversations among the students outside of class also offer a glimpse into the experience of shifting perspective on leadership and the challenge and resistance experienced by some of the students. During the lunch hour, several students describe the collective reflections on the events of the class and the debates about the merits of adaptive leadership. Mary describes some of these conversations as negotiations. She says,

> I think that some people were very hesitant, and they used the term, like "buying into this". And I was a cheerleader for this. I mean I walked out, you know during lunch and you know, "yeah but think about this," and, "think about this situation." And we would have great conversations based upon the Institute. And then I would be like, well, see, you are buying into it, because you're relating it to something.

The discussions were not limited to the leadership concepts of the class. The debates included the events and emerging dynamics of the class. The hesitancy and negotiations

171

described by Mary and others point to the experience of case-in-point learning as being more than an intellectual exercise in learning about leadership. Mary's framing of these negotiations as "buying into" also hints at a dualism that may not be present for every student.

Even the students who report gaining a new perspective on leadership, talked about some uncertainty about using adaptive leadership in a way that points to the change in understanding going beyond a new language and concept to praxis. Bob talks about his concern of his ability to maintain his learning from the course. Kim continues to wrestle with some conceptual problems around adaptive leadership. She describes an uncertainty with coordinating the conflicting perspectives of stakeholders in the task of mobilizing a group. Sam talks about being introduced to a new way of thinking and processing information that continues to feel tentative. The students' experience of gaining a broader perspective on leadership is an uneasy one filled with questions. This raises instructional questions about whether the institute model contributes to their challenging experience and if a semester long course format would provide better support for the shifts in perspective the students described.

7.4   CHANGES IN PERSPECTIVES ON LEADERSHIP

While as noted above, a shift in perspectives on leaders and leadership is described by many of the students, characterizing that shift and the learning involved proved to be methodological challenge for me. Part of the difficulty was trying to distinguish between the students' use of a new language in discussing their learning about leadership, the students' new conceptual understanding of leadership and authority and their application of this learning in the moment of the institute and in the analysis of their leadership failure case. I had anticipated that assessing

the learning about such a vague concept as leadership would be challenging. Thus in the interviews, I sought to gather data about the students' description of *evidence* of leadership demonstrated during the institute by the instructors, colleagues, or themselves (i.e., what did they identify as an exercise of leadership?) In addition to not foreseeing the complication to assess conceptual and experiential learning, I did not foresee how integral the role of authority would be to the students' shift in their understanding of leadership. As a result, I did not specifically pursue a line of questioning about authority during the interviews.

The multiple sources of data used in this study mitigate this gap in the interview data. The final paper assignment for the course included an articulation of their learning and a new analysis of their leadership failure case grounded in their new understanding of leadership. Thus in trying to understand students' learning about leadership and authority, this chapter includes analysis of reports of students' learning, and application of this learning in their analysis of the exercise of leadership in the institute, their internship, and their leadership case.

Two concepts from adaptive leadership are prominent in the way students describe their understanding of leadership after the course. The first one, the systemic dimension of leadership and the practice of developing organizational hypotheses, was described in Chapter 5. The second, the difference between leadership and authority, is the subject of this chapter. While the students describe other changes in perspectives of leadership, they are not as prominent and reflect more practices of leadership they would like to improve (e.g., reflection, growing in comfort with uncertainty, valuing other's perspectives, awareness of the impact of communication). These practices seem to be connected to new practices they began to experiment with in the institute or practices they found particularly helpful to their learning.

Several students describe their understanding of leadership is broadened by the

introduction of the difference between leadership and authority. As described earlier by Julie, adaptive leadership gives students a new language to reframe their understanding of leadership. Many of the students realize that prior to the institute, their definition of a leader was someone with formal or positional authority. While most describe the conceptual distinction between leadership and authority as an important part of their learning about leadership during the institute, the integration of these concepts into their reflections on leadership and application to real situations during and after the course offer some significant variations.

The influence of the leadership and authority distinction as theorized in adaptive leadership on the students' perspective on leadership ranges from a very conceptual description, to a conceptual understanding that reframes the students' articulation of their development goals as a leader, to an integration of the concepts in organizational diagnosis.

The data collected does not offer clarity about factors that might contribute to this variations. I sought to see how students described the exercise of leadership but did not pursue a specific inquiry into their understanding of authority. What is evident is that there is variation in the way students integrate the concepts into their lives. This chapter will discuss this variation by describing the application of student's learning about leadership across the cohort first to the institute as a case-in-point experience and second to the leadership failure cases. Finally I will offer a more in-depth look at the learning of three students, Jim, Mary and Sally, and the differences in the shifts in perspective on leadership they reported.

7.5   THE EXERCISE OF LEADERSHIP IN THE INSTITUTE

The experiential dimension of case-in-point teaching offers the dynamics of the class as a

laboratory for the study of leadership and the course concepts. Seeking to better grasp the students understanding of leadership after the institute, I asked the students for examples of the exercise of leadership they saw in themselves, their peers or the instructors during the week of class. It is in this section of data that the students most clearly describe a new understanding of leadership without using the language of the readings. Students who for the most part, came to the institute with the belief that leadership was telling people what do to from a position of organizational authority, identify moments of leadership as acts that differs in their characteristics based on authority relations. Students describe leadership as actions by themselves or their peers, individuals who during most of the institute do not hold positions of formal authority.

Students describe the leadership of their peers or of themselves during the institute as risk-taking, supportive, and relational. Leadership among their peers is taking the risk to speak and voice one's opinion as the primary way of creating movement for or on behalf of the group. Creating a space for contribution is the secondary aspect of leadership described by the students. Leadership for the students is developing an environment where relationships are supported the perspectives of members encouraged and valued. This represent a shift from an understanding of leader as the one who dictates solutions to one who facilitates a culture of engagement for the purpose of creating movement towards a solution.

When the students describe the instructors' leadership, the cultural and relational characteristics of leadership almost disappear and are replaced by an emphasis on the accomplishment of results. The students' analysis of the instructors offers much fewer comments about process or culture and none about relationships. The students also describe the instructors' leadership or their expectation for the instructors as offering guidance, setting

175

expectations, focusing conversations. While not using the language, their analysis represents several of what Heifetz calls the social functions of authority (e.g., giving direction, maintaining order, setting norms). This emphasis on the function of authority to describe leadership of the instructors also raises the question of whether the students are describing the exercise of leadership by the instructors or their expectations of instructors as authority figures. The difference between their descriptions of leadership also points to a recognition that leadership is not position dependent and requires different strategies based on one's authorization.

In the context of a graduate class, the contrast between the role of student and instructor is on a significant level, a contrast of authority. Several students capture this during the interviews. Jim and Sally describe their expectations of the roles of student and instructor. Sam contrasting the students' reaction of their colleagues speaking and the instructors speaking says:

> but with the teaching staff, it was more, I guess, we all, whenever teaching staff spoke it was, be quiet and, and it was almost like baby birds and parent bird comes in with the worm. Okay, give us the information, give us, you know tell us what we're doing wrong, or, or, guide us down a certain path.

Sam's description of the dependency dynamics associated with authority relations (Kahn & Kram, 1994; Powell, 2002). Students' identification of leadership among their peers and among themselves during the institute demonstrates a new understanding of leadership. The contrast between the description of the students' and instructors' leadership raises several questions for the institute and principal preparation. The decreased emphasis on relationships and increased focus on task and the shift from cultures that invite collaboration for problem solving to a model of leaders dictating solutions are interesting and problematic.

The findings are interesting in light of the many comments during the institute about the

ineffectiveness of an authoritarian leadership style in schools. They are problematic from an instructional point of view and from educational leadership perspective. The research points to the important link between of school culture and student achievement and the role of the principal in setting a school culture (Wahlstrom et al., 2010). From the instructional perspective, one way to interpret this finding is that the instructors' leadership style did not significantly differentiate itself from students' experience of authority figures. In other words the instructors failed to actually model leading with authority in an adaptive way. While this is very possible and I can think of a number of instances where I would change my interventions with individuals or the group, the students also describe the uniqueness of the institute in part due to the different role expected of them as students. The different expectations of the role of student include a different authority relationship between the instructor and students such as the ball throwing incident when some of the students expected the instructors to set the rules for communication so that everyone could have a chance to speak. Certainly not without critique, the student feedback on the instructors does acknowledge an alignment between the teaching style taken by the instructors and the subject of adaptive leadership.

Another possible interpretation is the impact of the powerful and often-unacknowledged expectations human beings have around authority figures (Rioch, 1975). Kahn and Kram's (1994) work on the patterns of attachment in authority relationship at work suggests that students' analysis of the instructors' leadership will be influenced by their authority at work temperament. This interpretation would encourage more attention in principal preparation program on student's own understanding of their views of authority and its influence on leadership.

7.6 ANALYSIS OF LEADERSHIP FAILURES

Due on the first day of class, the case study is a narrative or outline of a personal leadership failure. As described in Chapter Four, the case study became a central component of the students' learning. As the students consult to each other's cases, the insights they discover about one another's cases come to influence the analysis of their own case. Chapter 5 addressed one of the public cases and the influence of the large group consultation as a critical incident for some of the students' learning about systems. This section seeks to examine the shifts in student's understanding of their failures in the Institute. Three students, Jim, Mary, and Sally, offer a spectrum of the how students' changing perspective on leadership influences their understanding on their past failures. But first I will discuss the case failures as a whole and the important questions they raise for principal preparation.

As described in Chapter Four, the leadership failure assignment is very general in its description of the leadership failure. The emphasis is placed on the students' relationship to the failure. Thus I was surprised to see that all the leadership failures cases that the students brought to the institute involved a failure experienced during a change of organizational roles. The students may not attribute their failure to such a change (e.g., several of the students think the root of their failure is an interpersonal conflict with a colleague) yet the context of all the failures involves taking on a new organizational role. Table 4 describes the role shifts in the cohort's cases.

Many of the students do link their failure directly to the shift in role. Specifically, the students experience failure in fulfilling responsibilities involved in the new role. For half of the participants, the failure involved an experienced internal tension between responsibilities to a relationship and the responsibilities of the new role. They feared that fulfilling some of the

responsibilities required by their new role would threaten an-going relationship with a colleague or with students. The changes in responsibilities are often a result of changes in authority that come with the new position. In other words, the shift in role changes the authority relations between the actors in the case and this change creates a tension that the student struggled to resolve.

Table 4- Role shifts in leadership failure cases

Name	New organization	New role	New temporary role
Bob	First year teacher		
Sally	First year teacher		
Jim	New teacher in new school		
Luke	New teacher in new school		
Mary		Teacher to teacher leader	
Tess		Teacher to teacher leader	
Julie		Consultant to central office assistant director	
Tara		Counselor to camp supervisor	
Sam		Assistant band director to director	
Tammy			Committee co-chair
Kim			Filling in for director

In light of the assumptions about leadership the students held coming into the institute, it is not surprising no one mentioned authority explicitly but most described leadership as authoritarian-, none of the students described their failure as a challenge to manage the authority of a new role. Yet, for many, adaptive leadership with its distinction between leadership and

authority helps them reframe their failures as failure to take up the authority of the new role, or as failures caused by ambiguous authorization of a new role. Later in the chapter the story of three institute participants will offer a snapshots of the variations in shifts in perspectives of leadership.

What makes the case study assignment unique is the unresolved nature of the failure experience for the students. Dewey (1938) describes the role of experience in learning:

> Just as no man lives or dies to himself, so no experience lives or dies to itself. Wholly independent of desire or intent, every experience lives on in further experiences. Hence, the central problem of an education based upon experience is to select the kind of present experiences that live fruitfully and creatively in subsequent experiences. (p. 28)

Dewey raises several questions for the students enrolled in a program that will allow them to shift their professional roles in education. According to Dewey, the unresolved nature of the cases involving a professional role shift is something that lives on into the participants' shift into the principalship.

When combined with the negative assumptions of authority students described, the challenges experienced by the students in the shifts in authority relations in their cases raise questions about how adaptive topics such as one's relationship to authority and one's management of the authority of the role one takes up are to be addressed in principal preparation. Hasagewa (2004) found that the complexity of teacher leaders' meaning making influenced their experience of the ambiguous authorization. Teacher leaders in transitioning stages of development experience more struggle with lack of clarity about authorization that often comes with the role of teacher leader than those at the self-authoring stage. This study did not measure all the participants' level of self-complexity so no specific claims can be made about the

epistemological development of participants in the Institute. Nonetheless, the data offered by the participants and the findings of Hasagewa suggest that the developmental supports especially around authority might decrease the experience of tension as teachers shift into the role of principal.

Principal preparation involves several shifts. Browne Ferrigno (2003) described these shifts as transformation in (a) role conceptualization of the principalship, (b) initial socialization into a new community of practice, (c) role-identity transformation, and (d) purposeful engagement based on career aspirations. What is not present in Browne-Ferrigno's description is the shift in authorization that occurs as one becomes a principal. A way to think about this shift is that teachers are authorized by adults but draw their informal authorization from kids. When one becomes a principal, one's informal authorization shifts to coming from adults. Given the prevalence of shifts of roles and authorization in the institute participants' case failures, I think it offers a line of inquiry worth pursuing in the future.

7.7   THREE STORIES

To complicate the analysis of students' changing views of leadership, there appears a variation for several students in the understanding demonstrated between their written work reflecting on their learning, their written work applying their learning to their leadership failure, and their spoken description of their learning. This variation reflects the complexity of assessing learning for and about leadership; a complexity my data collection did not anticipate well enough.

Jim, Sally and Mary illustrate some of the differences in shifts in perspectives on leadership students experienced in the institute. As I mentioned earlier the data collected for this

study does not offer a lot to try to understand this variation. Some of the possibilities for these variations are described below.

Certainly the erosion of learning over time is a possibility. Julie who was interviewed six months after the institute says:

I actually have sort of lost the language because the awareness isn't gone, but I think the ability to talk about it is less present than it was six months ago. Um on the positive side, you know, with math and learning, if you learn something sort of deeply, it sticks with you. You may have to go brush up on what do I mean by that and…how do I talk about it? But, so I feel relatively comfortable that these, that many of the understandings are still there. I'm just losing the way to talk about them which means I should go back and read.

Another possibility is that learning about leadership like learning about other subjects can occur at different levels of complexity. It is possible to write about new concepts when the reading resources are easily available. It is quite another to apply learning to new situations. The effectiveness of transference is a particularly salient topic for experiential education. As described in Chapter Four, the institute engages students in an iterative cycle of reflection on their case study that theoretically should facilitate transference.

Another contributing factor to students' variation in learning about leadership and authority is students' prior experience of leadership and authority. One common theme among many of the participants is a negative experience with someone in an authority position - often but not always related to the people in their district. In light of Dewey's explanation of the role of experiences mentioned earlier, this theme raises a number of questions about principal preparation, experiential learning and offers several opportunities for future research.

7.7.1 Jim

Jim, a middle school science teacher, acknowledged not having read a lot about leadership prior to the course reading. The course readings (to be completed prior to the class) led to some confusion for Jim, which he says became resolved as the concepts are fleshed out in the class. Jim also reports gaining clarity about the concepts in his work for the final paper assignment. In his final paper Jim articulates a distinction between leadership and authority, when he writes,

> Before this course, I was unaware of the differences between authority and leadership. As a teacher I have been given formal authority. This does not mean that I am leading the class. According to Heifetz, leadership is an action or role that people play. In that role a leader is someone who is mobilizing others toward an adaptive challenge.

As Jim continues, he uses an example to illustrates his new understanding of leadership:

> So if I walk into the classroom, put my feet up, and observes as the class clown holds everyone's attention for forty-five minutes, the class clown is really the leader. I would simply be the formal authority that was not leading anyone. The leader is the one who mobilized the others toward the goal.

Jim is differentiating between being a leader and being an authority, yet in his illustration he shows some confusion in the relationship between adaptive challenge and leadership. It is hard to imagine how the class clown could be helping the students work on their adaptive challenge. Without wanting to read too much into Jim's final paper, what the task is for which he has been authorized (and would help us understand the unlikely situation that the class clown would be leading the class in its work on an adaptive challenge) is noticeably absent from the illustration.

The final assignment of the institute is a reflection on the students' learning with a special

attention to the integration of theory (see appendix). In this graded reflection on his learning, Jim stayed close to the assigned texts; Jim described a new understanding of leadership that aligned closely with Heifetz's definition. In addition Jim reserved a significant portion of his paper (about 25%) for a description of an organizational diagnostic model referenced in class from non-assigned readings. Jim applied this model into his analysis on his case study. Yet in the section of the model on authority, Jim offered a summary of the authors' point without any application or examples from his case or the class raising questions about the depth of his understanding.

Two non-graded reflections complicate the picture of Jim's understanding of leadership. The first was a free write with sentence stems assigned on the last day of class to begin the transference process but also to offer instructors an informal evaluation of the students' learning. The second was the interview held a month after the class. This long quote from my interview with Jim captures his reflection on his shift in perspective on leadership.

I guess prior to the class I thought um, like leadership could almost, I guess if I'm thinking about it right now, I guess leadership could be something like you could almost have like on a checklist. And say like a good leader needs to um, maybe like basically I thought, I thought of it as formal leadership, I think. Where, before the class, like a leader is like maybe, the police officers in charge of a crowd or a teacher in charge of a classroom. Whereas, after I thought of it more as anybody who was mobilizing a group in the direction that they wanted them to go. I thought of it, I think more of like I think before the class I thought of it more as like um, like technical things you could do specifically to be a leader. As opposed to like, um, like after the class, um like more adaptive or even just like, like, um just things that you would do kind of like on the spot

184

where trying to think of the way I want to say it. Like a um, more of like a deeper issue I guess or not just I think a little more in depth I guess, not like a simple answer to being a leader.

Although the distinction between leadership and authority is present, it is much more implicit. In his final paper, Jim uses the word *authority* 43 times (with 3 instances referring to Designated Authority). In contrast, in a 74-minute interview Jim uses the word *authority* seven times; three times to refer to the formal role of Designated Authority in the consultation group; twice to refer to his experience of authority in relationship to the instructors (abdicated when instructors present; available when instructors are absent); and twice to refer to the principals in his internship (principals being positions that have authority). While Jim can describe the difference between leadership and authority in his final paper, a month after the institute, his reflections about leadership show a blurring of the distinction- he uses *formal leadership* in two places to describe positional or formal authority. His description of authority seems to be strictly positional. In addition, he describes an implicit notion of authority as a zero-sum resource. He gives up authority when the instructors are around but in the small group (without the instructors) he has authority. Likewise Jim describes the principals at his internship showing confidence because they know they are "the formal authority".

In the longer above quote Jim describes leadership as a checklist, a list of skills or traits, one could acquire to be in leadership. The connection he draws to his internship also focuses on skills individuals in leadership have or develop. When asked if there were connections he made between the learning from the institute and his internship, Jim replies:

There were. I'm trying to think, I don't know how to relate it to the Institute. Because some of the skills I looked out, um, that I looked at were just, um, personality-wise. Um,

I really like the administrators that I got a chance to work with at the school I was at.

This view of leadership echoes the traits theories of leadership. Jim goes on to describe another common assumption of leadership with students coming into the institute, leadership is equated with formal position or in the language of adaptive leadership, leadership is organizational authority. Jim then does an interesting integration of another adaptive leadership concept, the distinction between adaptive and technical problems, to contrast his prior understanding of leadership with his current understanding. But he seems to struggle to articulate how. His comparison of his checklist view of leadership as technical and his new view as adaptive may serve him to illustrate the tenuousness of this new understanding of leadership since adaptive problems do not by definition have clear solution. Or it may capture his current problem to integrate the trait theory that clearly is still very influential in his thinking (his analysis of the internship principal focuses on personality, he says) and the concepts of adaptive leadership he learned in the institute.

Jim's assumption about leadership have been challenged and have begun to move away from an understanding based the trait school to include (in his language at least) adaptive leadership view of mobilizing or influencing others.

Um, I think, um, as, that would be getting someone to think the way that you're thinking. Because before, I kind of looked at it just like it's all on me. Like if I do this and I do that and I do this then I'm a leader. But now, actually, it seems like you have to kind of change the way other people are thinking so that they do what you're trying to get them, you're trying to mobilize them to do. …So it's not so much, so self-centered as I thought it was.

The shift to attending to the role others play in the exercise of leadership is part of Jim's new

186

understanding of leadership. An understanding he continues to work out in ways that sometimes conflict with the principles of adaptive leadership. In a conversation about leadership and the class clown during the second interview, Jim says,

> I think the difference there, because I think the class clowns are leaders too….Just to um a direction they shouldn't be, but um, there're still, I think in a way, there're still leaders. So, it just, it's a, I think you have to be, be careful with it. Um, like for example, like if you were the class clown, I think, maybe in an elementary school, I think maybe the teacher would be upset but some of the students would let that class clown lead them. Whereas in our course if there was someone acting like a class clown, I don't think anyone would really appreciate it, 'cause we're on a different level. …So I think it would be harder for that person to actually take leadership because I don't think the class would consent to it as much.

Jim sees the importance of influence in leadership but the objective of the influence or the direction of the mobilization of the group is not clear. Jim's argument for the clown exercising leadership is his ability to gain attention and influence others. In the example Jim describes the difference between formal and informal leadership. But in adaptive leadership, the definition of leadership is not tied to position but to a problem. Jim's description of leadership in the clown example is closer to the difference between formal and informal authority where he ascribes the exercise of leadership because of the ability to influence. In contrast, Heifetz's definition of leadership is specifically tied to the common good through the identification of adaptive challenges and influence is gained through a combination of formal and informal authorization.

I wonder if Jim's attention on the influence of others as evidence of leadership is not

187

another example of the remaining influence of the assumptions of leadership he held prior to the institute. The shift he is describing is a movement from as he said above "it's all on me" to it involves me changing other people's mind. The focus is still primarily on the leader accomplishing change.

The end (telos) of the change as integral to leadership does not seem consistent for Jim. In the first quote, the direction is dictated by the leader. Is this betraying another common leadership assumption that the leader knows all? While Jim, as we will see below, is letting go of this assumption, it may still be influencing his view of leadership. In the clown discussion, Jim believes leadership is exercised but in the wrong direction. Jim seems to imply that leadership is influence: both the teacher and clown have it. It is not positional and apparently, it is neutral in value. Yet Jim also says it should be directed in a particular direction. This reflects Heifetz's critique of leadership models and appearance of value neutrality. If leadership, as Jim says, has a right and wrong direction, then it cannot be value neutral. The teacher and the clown can both be influential and both can be informally authorized by the students, but they cannot both be exercising leadership as the theory used in the institute frames it. Jim seems to want it both ways. Adaptive leadership claims leadership is not value neutral but clearly tied to the resolution of problems for the common good. Mary describes this understanding when she says:

> But I realized that a leader is someone that first of all, at times will always have to put themselves out there… Um but as long as they are moving towards the common good, and good results, then that that is the most important thing.

Julie also offers a contrast in her learning about adaptive leadership. For Heifetz the "adaptive" part of leadership is helping individuals and organizations change to resolve problem to which there are not current solutions. Julie illustrates this learning as well as the systemic

dimension of most adaptive problems.

> I'm used to thinking in education. You know, we often say, you know if we could fix the parents, or if we could fix the kids, or um, and um, and by you know and um, if you can reshape, like the def, the deficit perspective, the achievement gap, in terms of maybe the opportunity gap, you know things, you know, it helps you completely reframe the problem… And I, I don't think I thought about leadership in terms of trying to recast the problem.

Two learning about leadership stand out for Jim. At the end of the course, Jim reports,

> As a leader I have a better perspective of what I need to change in order to become a better leader. I specifically know that I need to lead in uncertainty so now I have a starting point.

This *leading in uncertainty* is linked to his learning about how his tendency to want to gather as much information (As was described in Chapter Six, one of Jim's strength according to Strengthfinders) can make him appear indecisive when faced with a leadership decision. Jim recognizes that his strength can sometimes be a deficit in leadership and that he must learn to lead in uncertainty.

Also of interest is that regardless of the accuracy of Jim's understanding of a new theory, he reports having gained clarity about an improvement goal that he believes will make him a more effective leader. Something it seems he may not have had before. Of course this raises the question about if and how the rest of his principal preparation and induction will be able to support this improvement goal.

The other learning mentioned earlier is the role that attention plays in leadership. Heifetz says "attention is the currency of leadership" (Flower, 1995) and this seems to be quote that

really connected with Jim. The ability to hold attention, to appear confident even when one is not so sure is a quality he describes in his colleagues in the institute and the principal and assistant principals at his internship site. Here he is describing his colleagues in the class,

I think they exercised it [leadership] by um well I think they kind of like spoke up and whether they, I think they appeared more confident in what they were doing….Even though I don't know if there were, because, you know, a lot of times when they were speaking up they had, they had questions. And you could even tell, just by their body language sometimes they would maybe like look around and kind of ask the question to the class, but it still have, because they were speaking up, because they had confidence. I think that's one thing I'm trying to work on was um and we talked about it in class, that was one of my things, without confidence, I still needed to speak up. …To have that leadership role. Um, because I think just even just putting yourself out there is what makes you a leader, even if you don't have the answer, all the time.

While Jim claims to have moved from a checklist/ traits understanding of leadership, we see here the continued description of traits he sees in his peers that he believes will help him gain attention and be a more effective leader. At the same time, Jim is also describing a shift in his perspective on leadership. He is saying that a leader does not have to know it all or as he says at another time,

I think that's another um thing that I do that I should kind of work on a little bit is um sometimes I like in my leadership role, I look at it and think that um almost like I'm at a poker table, you know like I can't let them see how I'm feeling. …Or let them see that I'm confused about these issues. And I think that's not always necessarily a good thing. A leader sometimes need to let the other people know that they, you know, might need

190

help on something, or direction a little bit themselves.

While one could argue that he has simply shifted his traits of good leader from know-it-all to fallible, Jim's description reveals a new relational interdependency in the leader-follower relationship. This echoes the shift away from independent leader (as sole decision-maker from the earlier quote) to an interactive process to mobilizing people.

In this section Jim offers an example of a changing perspective on leadership. Like most of the students, the distinction adaptive leadership draws between leadership and authority is a new concept and challenges his assumptions of leadership. While Jim seems to have conceptually grasped some of the implications of this distinction in his final paper, the learning he describes a month after the class points to learning about leadership focused on the identification of traits he would like to grow in effectiveness for his leadership. This focus on self-development seems to have for its end attracting and maintaining the attention of others. Jim does describe a shift to leadership--a shift from characteristics of leaders (Jim says so) to what leaders do (focus on moving others)--being a relationship between individuals.

A developmental question might be whether Jim's focus on influence and attention as important learnings about leadership, the ones he remembers during his interview, are a function of a particular meaning-making system. Jim's focus on attention as a key to leadership could be a reflection of some of the concerns for others' perception often found in socialized or transitioning perspectives. The apparent lack of clarity about the role of values in leadership could also be reflective of a not-yet consolidated internal value system that coordinate one meaning-making but draws its cues from a social environment.

191

7.7.2 Mary

During the institute, Mary experiences a shift in her perspective on leadership. Like Jim, the distinction between leadership and authority and the idea of leadership as mobilizing people are new concepts for Mary.

> I mean it completely changed what we perceive a leader to be…So that whole idea of what you're raised with, and you know, you see someone in authority and to realize that because a man is carrying a gun and a badge does not make him a leader. Because you have a superintendent of a school district does not make he or she a leader.

The introduction of the distinction between leadership and authority reframes how Mary thinks about leadership conceptually. This reframing of leadership creates some turmoil for Mary. She says,

> I think the terminology and the big, the big idea of what I thought leadership was, and I was wrong, completely.

It also changes her evaluation of herself as a leader.

> I was organized (laughs). I was organized before. And I got the job done. And that is why I think I thought I was a leader, and others around me thought that I would be a good leader. People listened because I was able to say boom, boom, boom. And people like that. I now know that I am not a, I was not a true leader because I did not look at everyone's perspective, I didn't try to um move, I was afraid. Even if I thought something was right, I was afraid to voice that, because I didn't know how to do it in a way that didn't make me look like I was trying to control or be bossy.

In this quote from her interview six weeks after the institute, Mary reveals some of the changes in her understanding of leadership. In reflecting on her role in her school, Mary

192

concludes that what she once considered leadership may be closer to fulfilling the social functions of authority described by Heifetz (Heifetz and Linsky, 2004) such as providing order and direction. She also defines leadership as moving towards an end. Unlike Jim, for Mary leadership is not value-neutral, it is linked to an end goal- in this case the common good, elsewhere in her writings or interviews, the end is the preparation and well-being of students. In linking leadership to an end, she is making explicit her belief in the value of leadership.

In the passage, Mary also describes the idea that leadership necessitates being attentive to the perspectives of all the stakeholders. This is a salient learning for Mary and one that she begins to practice in other areas of her life.

Mary reveals a belief that leadership is not an in-born trait but skills that one can develop over time. While it may be a working assumption that much of executive coaching is built upon, in this affirmation, she could be seen as echoing trait theories of leadership, but I believe she is doing something more complex in her interpretation of her experience of the institute and the new concepts of leadership. Like many of the other students, Mary describes the distinction between adaptive and technical problems as new and important learning about leadership. But it seems that for Mary the more salient part of the adaptive change is how it relates to the leader as a person- how does a leader grow and change? Experiencing the introduction of a new leadership theory as overturning her life-long definition of leadership and her understanding of herself as a leader, Mary embraces the learning opportunity,

> recognizing like I, I always thought that I was a leader. People always put me in those
> types of situations. But recognizing that I was not, was very, um, it was okay. I didn't
> panic about it. I didn't feel as if, you know, that identity or that characteristic that people
> had about me was like, oh, a bad thing. I just felt like, okay. I get it now. Like this is such

a learning. Like I actually was learning something…I don't think I've ever learned, or thought that I was learning something. It, it was, I learned something. I may not get it all. But I completely, it was awesome. It was awesome experience. It was, it was a great, it, it was just a great experience. It really was.

This attitude seems to lead Mary's learning to be focused on how one takes up leadership and the process of self-development involved in leadership. She says,

The leader is, it's so, it's so, I can't explain it. It is very um reflective, self-reflective…Um, it is I think a complete personal journey, and the hard part is finding your, your talents, and we all may not have the same talent as a leader.

In contrast to Jim who identified gaining a starting point for his development as a leader (gaining confidence, making decision in uncertainty), Mary describes her development as a journey of discovery. Words like *growing into*, *personal, reflective* point to an appreciation for the developmental dimension of leadership. Mary's response to her encounter with the principles of adaptive leadership is one of openness to a process of self-discovery.

Mary engaged the process during the institute if somewhat tentatively in public. Mary was more quiet in the large group but she described the engaged conversations with colleagues during lunch. Outside of class, she seemed to play the role of evangelist (the term is mine but a propos as she described a number of time the experience of the institute to be "like church" for her), encouraging her colleagues to engage in the learning.

While open to the new learning about her self that might come, Mary also reveals her concerns for how she is perceived by her peers in the class. The fear to be seen as *bossy* or *trying to control* raise questions about Mary's assumptions about authority (fear about being seen as authoritarian) and about the influence of others in constraining her desire for learning and

194

discovery. Reflecting on her case, she says,

> Because I was not a leader. I think the times with my teammate, how I handled that situation, that was not good for my building, my team, and I'm not focusing, I didn't say him, because I can't control him. And his actions, necessarily. But I could have done things differently to move on it in a positive way. And I had control of that. I just miss, I misused it.

In this instance, Mary describes her fear about others' perceptions of her limiting her voicing her opinion and her opportunity to exercise leadership *when she thought she was right*. Mary expresses the regret she feels about the choice she made in light of the tension she felt between moving the group in a direction she believed to be right and what other might think of her. She frames it as an inability to see how to lead without seeming bossy to others, but I also wonder if this might not hint an edge of perspective taking. Mary may be struggling with taking up her authority- to lead with authority - regardless of what others might think about her. Mary told several stories in our first interview of the evolution of her struggle to coordinate her values and wants with the values and demands of others. A struggle that Kegan would suggest is developmental and characteristic of individual transitioning between socialized and self-authoring frames of mind.

Mary also has begun to apply these new concepts of leadership and authority to others situations in her life. In the earlier passage she mentions a situation with her teammate. The situation, the leadership failure she brought to the institute, is very much one she is still in the midst of (as she ends the school year where her understanding of leadership had begun to be undermined). She is able to analyze her case study in a different way by reframing her relationship to the principal in light of the ambiguity of the informal authority she has been

195

granted as "lead teacher". Mary describes her plans for returning to this unresolved conflict by articulating clearer tasks and responsibilities that flow out of the formal authority relations in her school.

Work is not the only area influenced by Mary's changed perspective on leadership. Mary describes how her new perspective is also influencing the way she thinks about mothering and her relationship to her son. She says,

In regards to my son, I don't say, "because I said so, because I'm your mother" because I try not to say that anymore. Because I'm not, I don't own him. I don't have complete power of who he is. So I try to say well, because, I try to give him a reason, I try to understand, without having a long conversation with him, because he's eleven, I, I try to understand his perspective and I share that I understand his perspective. But, we have to do it this way because as an adult I have to make that right decision. And you know. He looks at me like I have five heads. But he's getting it you know. And that's great, because now, as he grows, and he's doing things in school, with friends, with peers with teachers, he's going to be able to hopefully learn some of those skills…And how he relates to people.

Mary is experimenting with the way she is taking up her role and her authority as a mother in relationship to her son. In the emphasis on valuing other's perspective she may be seeking for a balance to her fears of appearing authoritarian, a fear she mentioned in the earlier passage.

Mary continuing her reflection on how her thinking about leadership has been influenced by the institute says,

But I still think about it daily. Um, it was just a lot. It's a way of changing your thinking and perception. Perspective, and it's just a lot. A lot. And I, I mean, I was telling um friends of mine like this is something you grow to be. You grow into. It just doesn't

happen after you know reading Heifetz and listening to [instructor] and having a class discussion.

Mary values and is comfortable with the process of self-development. She also seems to hold a binary view of leadership. Her old way was wrong and this new way is true. Mary was the one who described herself as getting students to "buy into" the class during lunch. I wonder if this dualism might be linked to the way Mary makes meaning of her world. Jim desired to grow in the appearance of confidence in order to have the attention of others. Mary seems to want to grow in her ability to take in other people's perspective to help them move towards a common goal. I am not sure what to make of the difference. If the shift in perspective is an encounter with a new concept of leadership as distinct from authority, Jim, while able to articulate concepts of authority in his paper, does not seem to bring authority as salient learning. Mary on the other hand seems to use the concept of authority to bring clarity to her task and role in a school situation that carried a heavy emotional price for her. She seems to retain an association of authority with authoritarian behaviors - an association that may be both personal and developmental. Sally offers yet different picture of the shifting perspectives on leadership students experienced in the institute, one that integrates more fully the new concepts into her own development.

7.7.3   Sally

Like Jim, Mary and most of the other students in the institute, Sally, an English high school teacher, encountered the distinction between leadership and authority as a new way of thinking about leadership. Sally describes her learning about leadership and authority with similar themes as Mary- fear of appearing authoritarian, leadership development as self-reflective process,

reframing her analysis of failure, application to situations outside of class. Sally's reflections focus on engaging the implications of the distinction between leadership and authority for her work and life at a level beyond the interpersonal relationships.

Adaptive leadership concepts challenge Sally to consider her assumptions about leadership and to reflect on her authority and self as an authority figure.

> I think I struggled a lot with the concept of authority, too. Which, I, I don't know if that goes along with this question or not, but, that was part of my case study…and my final paper. And the idea of authority and what an authority figure is. So a lot of my thinking about myself as a leader focused on me as an authority and who I am as an authority because I, going into the Institute, I really didn't see myself as an authority figure… And I know that I will have to be one if I'm an administrator

Adaptive leadership gives Sally a language to analyze her leadership. She voices the assumptions at work in how she exercises her leadership in the classroom. She believed that students would grant her informal authority based on her hard work and expertise. She now understands that this might be the case with students in high school but not middle school. Recalling the social functions of authority, she recognizes that younger students may need more structure and order. Applying this new understanding about authority to review her case, Sally identifies the needs of the group of students dealing with the instability of having had four teachers in a few months and her failure as the authority in the classroom to provide them with structure and order especially in light of what she now sees as the racial tensions in the school.

Like Mary, Sally is able to articulate some of the assumptions she held about leadership. In addition to believing that expertise and hard work would suffice to have the informal authority to lead her students, she also realizes that she believes that authority creates obstacles in

relationships. Sally continues her analysis by identifying some the personal needs that contributes to these assumptions. She says,

> And I think that um, I want to be liked, which is a big issue with authority for me… Because, um, part of my success in teaching, I've thought, has been my rapport with students.

Sally fears that asserting her authority in the classroom will push students away and undermine her connection with them, thus jeopardizing the relationship that she believes helps her students succeed.

In light of her new analysis of her case, Sally decides to make taking up her authority more effectively her improvement goal. She sees taking up the role of DA in the consultation group as opportunity to practice being an authority. In addition feedback from her colleagues in the cohort that described her as a "quiet authority" encourage her that being an authority may not be as difficult as she thought or require her to sacrifice so much of what she believes is her strength as a teacher.

In the end, Sally considers returning to the classroom in the fall and envisions a different way to take up her authority. She says,

> I think, um, that will change for me…this coming year. And, I think that in the past I saw myself as a leader who led without authority. Or with minimal authority. And, I think I want to be a leader who can lead with authority when necessary. If that makes sense. And so in that respect, I'll be authorizing myself to lead, which I don't know if I've done that in the past. Or thought, even thought about that in the past. That's probably a new thought.

Sally seems to integrate the newly learned concepts of leadership and authority to change

the way she exercises leadership. The idea of *authorizing herself to lead* is a powerful phrase. It is not clear if she meant self-authoring in a developmental way or is she talking about taking responsibility for the exercise of the formal authority she has as a teacher because she now sees that she has a responsibility to the students because the students need the functions of authority to be fulfilled? I think it's a little of both. She is recognizing that the students need her to take responsibility for her formal authority. This is something she had not considered before being more concerned building rapport with the students. But even as she considers this new way of taking up her role as teacher, Sally remains cautious about taking her authority in an authoritarian manner. This concern is similar to Mary's fear of appearing bossy. Sally and Mary's concerns raise some interesting questions about gender differences in the experience of authority. While other students, including other women in the cohort, expressed negative experiences with authority figures, Mary and Sally's fear about being seen authoritative may offer an interesting line of future inquiry for principal preparation.

Sally still sees authority as authoritarian- as if, as a teacher, she chooses when to have authority and when not to. Her learning about role of authority to provide order and direction may also be contributing to this view of authority. Failing to fulfill these functions is the way she comes to think about her leadership failure case. As result Sally would like to get better at *leading with authority*, by which I think she means, authoritatively. This is why she uses the word *stronger* elsewhere to describe her desire to *establish her authority* on the first day of school and why she describes her use of authority as *when necessary*. She says,

> I've been thinking about authority and how I want to present myself the first day of
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> school, and the ground work that I want to lay and I think part of it has to be me taking a
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> little bit more, a little bit stronger a stance, uh, from the beginning, rather than letting

them see me as authority through my content knowledge, which takes time. I mean that takes months for them to see that…To establish authority from day one. I don't think I've done that as a teacher, before.

What the distinction between leadership and authority has done for Sally is place her in dilemma. She now understands her failure in her case as a failure to fulfill her role of authority in the class and a failure to provide the students with a need every group has. She also realizes that this failure is partially due to her view of the importance of her relationship with the students to accomplish her task of helping them achieve and partially due to her desire to be liked. This learning about leadership challenges Sally to consider the consequences of her vulnerabilities on the way she teaches and leads. Sally realizes that to improve her leadership, she will have to place herself in an uncomfortable situation: changing what has led to her success as a teacher and facing not being liked by the students. This is something only she can do, something she has to authorize herself to do.

Sally's new perspective on leadership and authority lead her to analyze the leadership of the principals at her school and internship site and also her role in relationship to her younger sister. She recognizes that she has had no problem functioning as an authority in her sister's life (in a way she would never do with her students) and that this has not been fruitful for her sister's decision making. As the older successful sister, Sally has responded to her parents' request to help her sister make some post-high school decisions. Sally realizes that what she has really done is told her sister what she should do which has not been a productive course of action. She now considers that the relationship might require her to be more a leader than an authority to help her sister in her current situation.

Sally holds a similar appreciation for the developmental journey of leadership as Mary

described. This new perspective on leadership means growing as a leader is a reflective process. She says,

> As a leader and a learner, I recognize the need for constant reflection and self-evaluation, as well as the need for adaptability, growth, and transformation.

The implications for her practice are that,

> I think that will mean being more reflective of my teaching practices, and more reflective on the day to day situations that arise in the classroom, why they're arising, um, why is a certain student constantly acting out, how is that reflective of me as a leader?...Or me as an authority figure? So, it will mean more reflection on my part.

I think it is the object of Sally's reflection where we see a difference in the complexity. There is a clarity about the reflections for Sally that Mary did not articulate. Sally's reflection reflect an understanding about both the teacher as a role with authority and authority as a function of groups and the implications for her taking up that role with an intent to lead (in an adaptive leadership sense of the word- to mobilize students to face real problems like the prejudice/racism in their class). Mary applied her new understanding of leadership to clarify her role and boundaries; to protect herself to be able to do the work she is passionate about. Sally brings an additional level of complexity in reflecting on the students as a group and the school as a system, each managing its complex needs and challenges. The systemic, group and organizational level of analysis to which Sally applies her new understanding of leadership seems like a more complex way of constructing a plan for action in their leadership failures cases.

Another contributing factor to the complexity of Sally's analysis is her grasp of the relationship between leadership and adaptive challenges. While Mary describes an understanding

about adaptive challenges, her understanding wavers. She describes herself as having a tenuous and fluctuating sense of clarity on the concept. Sally, on the other hand, integrates her understanding of adaptive problems to her case analysis, deepening the complexity by offering several system-wide organizational hypotheses.

Applying her new perspective will not be an easy process for Sally and she voices her fears about applying this learning when she eventually steps into an administrative position. She says,

> These authority questions scare me from an administrative position. From a teaching position, I feel comfortable because I have had success in the classroom, but I worry about when I eventually become an administrator down the road. How is this going to affect my ability to lead a building? And so in that respect the questioning has made me fearful about being an administrator.

Sally recognizes that the same fear about not being liked by her students is influencing her thinking about becoming a principal. She says,

> I think that it's the same fear I have in the classroom which is not being liked. And if I'm not liked, will the teachers follow me? Um, will the staff accept my directives or my vision for the school if they don't like me? And um, I, I think I look at even our current principal right now and how much the older staff do not like him. And they refuse to do what he asks because they don' t like him…And I'm afraid that when I eventually go into that role that you know something similar would happen because I'm in autho, I'm an authority figure

Sally thought she was a leader who failed at being an authority and now wants to lead with authority. How she thinks of herself as a leader is not threatened like Mary was, but she is

faced with how her commitment to not compromise her ability to be liked competes with goal of growing in the ability to lead with authority. She demonstrates a more complex perspective on her leadership failure by integrating the concepts of leadership, authority, and adaptive problems to provide an analysis that does not remain at the interpersonal level. Whether this complexity is developmental is hard to say. The strong influence of others' perceptions of her has echoes of a socialized perspective but Sally is gaining a reflective distance from her leadership and authority in her relationship (her analysis of her relationship with her sister) and in the role of teacher she plays now and the role of principal she will play in the future.

7.8   APPLICATION TO PRINCIPALSHIP

Following the institute students applied their changed perspectives of leadership to their vision of becoming a principal. For some this was exciting and confirmed a vocational calling to educational leadership. For others, it was a little more overwhelming as they questioned their ability to apply their learning to their new role. Whether with confidence or trepidation, students seek to become principals who will bring a new frame of analyzing problems. They hope to be school leaders that are more reflective of their practice and their organizations; leaders who are open to the diagnostic work of problem-solving and aware of the systemic nature of many of the problems facing schools.

While their descriptions of leadership *with* authority in the institute recalls more the functions of authority rather than the principles of adaptive leadership, the students' description of the kind of principal they would like to be is more reflective of their description of leadership

without authority, that is more relational, supportive and attentive to the organizational culture and the processes of leadership. As Tammy says:

> Being able to attend to the work- as the principal in my building- requires that I practice my inability to see issues outside of my perspective. In order to do this, I change my mindset of what I thought good leadership involves. After learning the differences between leadership and authority, I feel more confident in my ability to be a principal because I no longer see leadership as just being in charge of a group of people. Leadership now means being able to mobilize -to move people- to do work that does not have answers or easy solutions (like attending to race issues) while providing direction, protection and orientation as we move through the adaptive challenge process.

> For many, their actions plans for their leadership failures acknowledges the importance of

collaboration for the diagnosis and leadership of systems. The students recognize the presence of blind spots in their own leadership and the need for others' perspectives to complement their own. In light of the recognition of adaptive problems as problems with no easy solutions, the students' vision for their work as principal is strikingly hopeful.

7.9   SUMMARY

In the institute students encountered new concepts of leadership that challenged their previous definitions of leadership. Specifically most students recognized that the definition of leadership they held equated leadership and authority. Some experienced this challenge to their understanding as unsettling. Through the readings and class discussions, students learned to distinguish leadership and authority. For most this distinction helps to reframe their

205

understanding of their leadership failure, although the integration this new understanding in the students analysis of leadership varies in depth. Helsing et al. (2008) claim that the kinds of leadership work the students described in their last analysis of their case requires a level of development most of the students did not demonstrate. Whether these variations are related to students' meaning making in nature is harder to determine. The difference in students' analysis of leadership with and without authority, as well as their case failures show the complicated influence of authority relations (past and present) in students' perspectives on leadership. A topic seldom addressed in the educational leadership or principal preparation literature but one whose influence teachers can easily describe and, as Mary said, "makes people bang their heads against the wall".

8.0   CHAPTER EIGHT: DISCUSSION

8.1   INTRODUCTION

When I was asked to design and teach a five-day leadership institute for aspiring principals, I was given a unique opportunity to contribute to the equipping of future principals and to shape the research on leadership education methodology. Case-in-point teaching, the experiential methodology I wanted to use was one that I had seen provide powerful learning moments for some students. It had also left a minority of students dissatisfied. I saw the opportunity to adapt this pedagogy for school leaders with a design and framing that would seek to make the learning accessible to more students. I identified gaps in the leadership education and principal preparation research literature that I wanted to address through this study.

The leadership education literature has covered the use of experiential teaching for transformative learning from adult development models in experiential learning settings but the research on the use of case-in-point teaching as a specific pedagogy is limited to semester-long courses, some of which also included a two and a half day Group Relations conference. The short-term, intensive, immersion institute model for experiential courses or case-in-point used in LIFTS was not represented in the research. In addition, the recent educational leadership literature makes program design and instructional recommendations for the development of aspiring principals based on adult development yet these recommendations also raise questions

that the research can only begin to explore. Principal preparation programs are by state and "national" standards and market pressure limited in the time that is allotted for each subject and how the courses are delivered. The executive-style institute design of the leadership course in LIFTS is a response to these pressures and recommendations for adult learners.

This research sought to explicitly answer two questions (and as I came to realize, implicitly a host of other unarticulated wonderings). The questions were:

1. What do aspiring principals report learning about themselves and their leadership in an experiential leadership class?

2. In ways, if any, does case-in-point teaching support shifts in perspective-taking?

This chapter reviews the findings of this study on designing experiential leadership education with a developmental lens. I discuss the implications of the findings and offer some suggestions for future research and for the instruction of aspiring principals.

8.2   SUMMARY OF FINDINGS

1. What do aspiring principals report learning about themselves and their leadership in a short-term experiential leadership class?

A number of the exercises of the first day of the leadership institute helped students grow in their self-understanding through affirmation of tendencies or habits as assets to their leadership. The language of perspective taking introduced during the first day may have unintentionally given students a way to talk about their learning and experiences during the rest of the institute.

Analysis of the data from the leadership institute suggests that students in the institute gained more complex perspectives on themselves, their leadership and schools as organizations.

The students' experience in the institute is reflective of the findings in the literature on experiential learning. Most students described experiencing a range of emotions during the week from anxiety, discomfort, and even offense to excitement and insight. In the institute, students were confronted with the "narrowness" of their perspective—a self-centered point of view, limited by a certainty about their interpretation of the leadership situation. They described a growth in the complexity of their perspective through attention and openness to new points of view. Some of these shifts in perspective have some micro-developmental characteristics. Most of the developmental literature agrees that short-term course or conferences are not long enough to shift meaning-making systems. This study is consistent with many of the studies that found increasing awareness as a result of experiential leadership courses. Supporting the findings about micro developmental shifts, Harris (2002) in her investigation of transformative learning found evidence of cumulative transformation in students.

The growth in the perspectives of the students grouped around three themes: self, leadership, and organizations as systems. Some students described this growth during the institute while others did so with some distance and time.

8.2.1 Changing perspectives on self

The first area of growth in perspective comes from changing perspectives on self. A broader perspective on the self was defines as new insight on either an intrapersonal, interpersonal dimension, or both, of how the students think about themselves. During the institute students discovered how their actions or assumptions have unintended or unrecognized impact on others. This included gaining a new understanding of how one's actions contributed to relational conflict. Role analysis contributed to two important areas in the students' learning about

209

themselves. The most common area of learning in role analysis for students is beginning to identify the roles they played in the institute or in their case study. The second area of learning focused on one's relationship to the roles one plays, such as learning how one comes to play a role for a group and the ability to distinguish self from role. Students learned how their strengths and weakness contributed to their valence to play specific roles in groups and organizations. A few students considered settings outside of the class and began to identify roles in other areas of their lives.

This study supports the findings of studies of other experiential courses about shifts in perspective of self. Understanding roles and one's relationship to roles is an important learning found in the literature of both long term (Martynowych, 2006) and short term (McCallum, 2008) experiential courses. This would suggest that that role identification is less dependent on the length and type of experience as in the theoretical model supporting the experience. Parks (2005) describes a student who took three presentation of his case to shift his perspective on himself, so it seems length of time to allow these cumulative encounters with feedback does matter. Week-long, weekend, and semester format might contribute to variation.

The variations this study found in students' role identification is consistent with the literature. Martynowych (2006) and McCallum (2008) found similar differences in the students' identification of roles and linked these differences specifically to students' stage of development. Not having assessed all of the institute's participants' self-complexity, it is hard to draw more specific comparison. Nonetheless, the initial SOI results showed a number of students in transition between socialized and self-authored stages. This would suggest that the variation in shifts in perspectives of self as it relates to role identification found in this study may not be as clearly dependent on self-complexity as Martynowych found.

While students demonstrate new insights about themselves, a few students analyzed their role in a way that moves beyond identifying their roles, the valence they might have to play these particular roles and how the roles serve multiple and conflicting needs of an organization. One student in particular identified the gap between her espoused educational philosophy and her actions in the institute and her contributions to the role another student played in the institute. This supports some of the findings of research about both case-in-point (Parks, 2005) and Group Relations Conferences.

8.2.2 Leadership

A second shift in perspectives students experience occurred around their view of leadership. Shifts in perspectives in leadership included uncovering their leadership assumptions, discovering the interaction between leadership and authority and understanding the implications of problem-framing for leadership. For some students, the course also changed their understanding of themselves as leaders, their understanding of the work of leadership in schools.

Most students came to the institute with a leader as a hero view of leadership and experienced some disorientation as this view of leadership was challenged by adaptive leadership theory. Despite demonstrating new understandings about leadership, some students talked about an uncertainty sustaining or applying these new learnings past the institute. This finding differs from Parks' (2005) findings that the learning and language remained with students of case-in-point courses for years. I attribute this difference to the length of the courses studied. Parks interviewed students who had attended a semester-long case-in-point course which enable more reflection and practice with the concepts. I experienced difficulty assessing the students' learning about leadership from the students' use of a new language about leadership. Parks addressed this

difficulty by interviewing the supervisors of former students. I interviewed faculty who taught the cohort after the institute but I did not seek to assess individual learning through these interviews. Another interpretation of this uncertainty could be what Martynowych (2006) called the "de-glamorizing" of leadership. He attributes a developmental level to this realization by students caused by encountering of the complexity of leadership through experiencing case-in-point teaching.

One area of shifting perspective on leadership was in the role of authority in the exercise of leadership. While most students described the conceptual distinction between leadership and authority as an important part of their learning about leadership during the institute, the integration of these concepts into their reflections on leadership and application to real situations during and after the course varied. This is consistent with the findings of Parks (2005). The cases of leadership failure the students brought to the institute all involved a change in organizational authority. That the shift in authority role was the direct or indirect context for the failure of all the students in the cohort was an unexpected finding that raises several questions for principal preparation that will be explored later in the chapter. I have not found any studies that compared the students' cases across the class-as-a-whole. Powell (1997) did a similar analysis of grades for the class-as-a-whole in an experiential course and discovered the existence of a "pigmentocracy."

Students' descriptions of the evidence of the exercise of leadership in the institute show a contrast between leadership among students and leadership of the instructors. Students described the leadership of their peers or of themselves as risk-taking, supportive, and relational. Leadership among their peers is taking the risk to speak and voice one's opinion as a way of creating movement for or on behalf of the group. A second aspect of leadership described by the

212

students is creating a space for contribution. Leadership for the students is developing an environment where relationships are supported and the perspectives of members are encouraged and valued. In contrast, the students' analysis of the leadership of the instructors offers much fewer comments about process or culture and none about relationships. The students' description of the instructors' leadership involved much more clearly social functions of authority such as offering guidance, setting expectations, and focusing conversations. The difference shows a shift in the students' understanding of leadership as strictly authoritarian and executive to a more collaborative and participatory model. This aligns with the more effective models of leadership found in schools with increased student learning (Wahlstom et al., 2010). I have not found another study that identified the contrast in the exercise of leadership found in this study. One interpretation for the findings is the strong influence of the graduate school context on students' interpretation of the modeling of adaptive leadership. There is support for this interpretation given the students' assumptions about authority figures and the challenge some students experienced with the student role shift demanded by case-in-point. A related interpretation is that for teachers, the authority dependencies ascribed to formal roles occlude the activity of leadership. Another interpretation may be that individual's meaning-making influences the projections of leadership and authority. The implications for principal development are explored later in the chapter.

As students shift their understanding of leadership, they offer more complex analysis of their failure and also begin to apply their new perspective to other life situations such as family relationships. Such findings reflect the findings of the literature about the application of adaptive leadership and the spill-over of learning from experiential courses. Harris (2002) who studied

213

semester-long MBA experiential courses found leadership to be one of the three most salient areas of transformative learning for the students.

8.2.3   Organizations as systems

The third area of perspective shift for the students in the institute was in understanding organizations as systems. Included in this category are using more complex analysis of organizational challenges and developing strategies for creating change around personal and organizational problems. Students exhibited a shift in the analysis of their cases from a strictly individual or inter-personal perspective to a more complex organizational lens by identifying systemic problems and developing organizational hypotheses about the school's management of these problems.

The students' reactions to an organizational interpretation in one specific large group consultation showed some students engaging more system-level reflection and applying this new perspective to their own cases through the development of organizational hypothesis and identification of strategies for change. Other students, who seemed to initially resist this specific systemic interpretation, developed a perspective that appears to seek more to explain their experience of the consultation than develop understanding to identify possibilities for change. The variation found in students' analysis is consistent with the literature. Unlike Martynowych (2006) who found the use of the systems framework to be limited to fourth-order students, two students in this study who were transitioning between socialized and self-authorship, demonstrated systems thinking in their case or in their analysis of the class. The experience of resistance is also consistent with the literature on experiential learning. McCallum (2008) found that in a Group Relations conference all participants experienced a period of regression or

counterproductive acting or thinking. For half of the participants, this regression was key to learning and growth.

The influence of the topic of the interpretation (institutional racism) added a level of complexity to the analysis of the situation that this study was not design to investigate. Nonetheless, the subject of race as hot-button issue in experiential courses is supported in the literature. Martynowych (2006) also found race to be a catalyst for the learning during case-in-point course. Silver (2001) found struggle with diversity to be an important part of participants' experience of Group Relations Conference.

The impact of group-level dynamics and the role and valence of the instructor on the students' resistance in this study were explored to emphasize the complexity and pitfalls of case-in-point teaching. These analyses were informed by the theoretical framework of the class and this study and were consistent with other research on the relationship of the group to the instructors in graduate experiential courses (Powell, 1997, 2002). Heifetz et al. (1989) also recognized that the mistakes of the instructional staff could be the sources of student distress and that despite their best attempts to protect students from the shortcomings of the instructors, "we have to face the possibility that teaching deeply will always uncover or induce personal pain" (p. 558).

8.2.4   Application to the principalship

Following the institute, students applied their changed perspectives of leadership to their vision of becoming a principal. For some this was exciting and confirmed a vocational calling to educational leadership. For others, it was a little more overwhelming as they questioned their ability to apply their learning to their new role. As mentioned earlier this might be due to the

short-term experience or to the timing of the course in the sequence of the principal preparation program. Another interpretation is that case-in-point teaching and adaptive leadership offer a dramatic challenge to the understanding of leadership and schools as organization that students bring to the principal preparation program by offering a more complex model for the principalship and the personal development necessary to lead schools. I do not have direct comparison with the literature since I did not find any studies about adaptive leadership, experiential leadership courses and principal preparation. It is consistent with Helsing et al. (2008) for professional development for school leaders. In a different field, Heifetz et al. (1989) surveying graduates of case-in-point semester and three-week courses in public management concluded that, "The ideas and skills of these courses seemed to be useful generically, regardless of work setting and gender" (p. 554). This would suggest further research is needed to explore the aspiring principals' responses.

The findings from this study are encouraging and would suggest further research on the institute participants as they enter the principalship to understand what, if anything, is the evolution, transfer, retention, and application of leadership learning. Despite finding semester-long case-in-point courses to be more effective at improving the abilities of participants than a three-week institute, Heifetz et al. (1989) thought the decreased cost of shorter courses made the return on investment worthwhile.

2. **In what ways, if any, does case-in-point teaching support shifts in perspective-taking?**

As described above, students in the institute demonstrated shifts in perspectives around three themes. For the most part these shifts were towards broader and more complex perspectives. Some of the shifts described also had developmental characteristics such that learner increased

what was available for them to take responsibility. Sam for example recognized the consequences of his competing commitments on his family. The framing of the experience of case-in-point teaching with adult development theory and the iterative reflective process that included the introduction of three new points of view on a personal leadership failure supported the shift in perspective-taking for the students.

Case-in-point teaching in the institute involved the students developing a case study based on a leadership failure they experienced and remained unsettled about. The cases were presented for consultation in small groups, although a few were done in front of the whole class. Through assigned roles, the consultation group became the place where students put into practice the conceptual frameworks of the course by analyzing the dynamics of the cases and the consultation group.

Students' learning and shifts in perspectives were supported through a process of reflection on their leadership failure repeated three times, each time with a new point of view with which to analyze their failure. The three points of view students sequentially brought to their cases are: (1) the course readings, (2) the consultation groups, and (3) the integration of theory and practice over the institute. This repeated encounter with new points of view on a personal situation serve as a sustained challenge of students meaning about their failure and thus supports the challenging function of a holding environment described by Kegan (1994). The first cycle of reflection occurred in light of the course readings that introduce the concepts of adaptive leadership and multiple levels of organizational analysis. Students mostly reframe their thinking about their case through a shift in problem definition. Like the language of perspective taking introduced during the first day, the readings create an initial frame for reflection. Although the language of adult development theory was not particularly reinforced during the rest of the

institute, it gave students a language to frame their learning and the challenges they experienced during case-in-point teaching. This would support Harris' (2002) finding that framing and naming play an important role in students' learning from experiential courses.

The second cycle of reflection occurs in the consultation groups where the students are offered new organizational hypotheses about their role in the system in which they experienced failure. In this cycle the students describe encountering the strongest challenges to their understanding of themselves and their failure. The consultation group fulfills the challenging function of a holding environment by offering new hypotheses about the presenter role in the failure but also the systemic challenges of which the failure is a symptom. The role of the consultation group in fostering student learning found in this study is consistent with the findings from Parks (2005). The primary object of the learning described by participants in Parks is different from this study. Parks found the main benefit of learning from a leadership failure in public was an increase in freedom from overcoming the fear of talking about failure in front of peers. Parks studied a stand-alone course. I suspect the cohort nature of LIFTS may decrease for some students the fear of presenting in front of peers. In addition, Parks studied Harvard graduate students. Based on my experience, I suspect the cultures and the projections of excellence on the part of the students are quite different between these two institutions.

The third cycle of reflection takes place after the institute through the integration of the theoretical and experiential learning of the institute with their leadership failure. This last cycle engages students in the return arc of reflection of the hermeneutic circle (Gadamer, 1976) to help students gain new perspectives. This cycle serves as a developmental challenge towards self-authored meaning-making as it requires reflection on one's own learning and a coordination of multiple voices and one's internal experience. The impact of this integrative cycle is consistent

218

with McCallum (2008) who found that the reflective event designed to help students transition from the experiential Group Relations conference to their work environment was an important component to the participants' learning across developmental groups.

Harris (2002) also found reflection to be a key strategy for supporting learning. Since the institute model decreases the reflection time between classes for days to hours, I suggest further study should be pursued to better understand the role of reflection in the transformative learning of experiential courses.

Certain aspects of the institute's adaptation of case-in-point are consistent with the literature. This study found that the recurring reflection on a personal failure with new points of view to provide scaffolding for students' learning and shifts in perspective taking. This is differs from the findings of other studies. While some experiential learning models are recursive (e.g., Kolb, 1974) the object of reflection involved is usually the (always changing) nature of experience. Parks (2005) described the components of case-in-point teaching and the emphasis on continual practice with a new framework found through the various components of a semester class but she did not report learning around recurring reflection of the failure case. This is most likely due to course design differences.

8.3   IMPLICATIONS

This study sought to address gaps in the principal preparation literature and to contribute to the emerging literature that brings a developmental lens to leadership education. The implications of this study for these three fields are discussed in this section. In addition, some of the questions raised by this project are offered as future lines of inquiry for theory and practice.

Students in the institute experienced a range of emotions. The unexpected impact and demands of experiential learning can be challenging to students. Programs need to prepare students for these demands (such as the shift in student role to be self-initiated). The recommended attention to adult learning for aspiring principal programs should go beyond coherent curriculum and blending theory and practice into creating learning environments. Case-in-point reflects many of the instructional recommendation from the principal preparation literature (self-directed, experiential, real world problems) but the literature says little about the difference in holding environment needed for such learning to be successful. Programs that use experiential pedagogies in general and case-in-point in particular need to be prepared to support the students and the instructors in these courses. The supports should be for students because the experience is disorienting. The diversity of ways of knowing framed the institute and gave students a language to make sense of their challenges and learning.

Supports should also be offered for instructors because they open themselves to a number of projections as they challenge students' long-held perspectives on themselves and leadership. A program that teaches students to be self-reflective especially around issues of leadership and authority must be prepared to be examined and critiqued by its students and to continue to use these moments of critiques to teach students rather than to defend against them. This requires a singleness of approach and collaboration among instructors not usually present in higher education.

In addition, case-in-point is resource intensive pedagogy. The institute had three teaching staff. The complexity of using the class as a laboratory to model adaptive leadership through the interventions in the system requires multiple vantage points that one instructor cannot hold. Case-in-point courses should not be held to the same resource guidelines for teaching assistants

as traditional didactic or Socratic classrooms. Although the program coordinator does not need to be one of the teaching staff as was the case in the institute, proactive communication between the instructional staff and the program coordinator is essential, especially in a cohort model.

Most of the students used an experience of involving a shift in authority relations as their unresolved leadership failure case study. This finding has implication for teacher preparation and principal preparation programs. While this might be an isolated incident specific to this cohort, it supports the idea that educating about leadership and authority may also be important for in-service professional development of teacher leaders and pre-service teacher preparation. Principal certificate programs that prepare teacher leaders for a shift in authority role involved in becoming principals should attend to students' experience of leadership and authority in the curriculum. Furthermore, the shift is one that involves a change from seeking informal authority from children to adults. If self-complexity influences how authorizes one's values and decisions, the shift in informal authorization involved in becoming an administrator may have need specific developmental supports. While teacher leaders hypothetically have begun that shift as they take the often-informally authorized position of teacher leader, several of the students in our program were young in their career and could not have had a lot of experience with the responsibilities of teacher leader. Recruiting teachers with demonstrated experience as teacher leaders and teachers with the pre-requisite years of experience for the certification increases the chance to have participants with more experience in informal authority positions in schools.

Students bring authoritarian and executive assumptions about leadership. These assumptions are not always conscious and are contradictory to the more distributive models taught in principal preparation. Curriculum in principal preparation should explicitly addresses these assumptions and offer analysis of the shortcomings of various leadership models.

221

Furthermore, these assumptions about leadership influence students' understanding of the new models presented in courses. Programs should acknowledge this influence of "default settings" (Parks, 2005) and differentiate instruction. Further the collaborative models recommended by the literature may be more effective if they are reinforced and modeled across the curriculum.

Students described leadership without authority as inclusive and collaborative, while leadership with authority is focused in authority functions. While this may be a function of the expectations of instruction in graduate school, it points to the many variables that influence what gets taught and what gets learned about leadership and authority in a classroom. Instructors and programs should bring a self-reflective lens to their practice and design to attend to the leadership models and authority relations that are implicitly taught as to not reinforce students' "default settings". Since many students described enrolling in order to make a change in schools and to be a different kind of principal than what they had experienced, the practice of leading with and without authority needs to extend beyond a week-long institute and should be reinforced in their internships, in their work as a cohort in other classes, and (to take advantage of what is usually considered a detriment) in their classrooms and schools as they continue to teach full time during the program. In addition, models for understanding the experience of authority relations in work context (e.g., Kahn & Kram, 1994) could be used to open dialogue and analysis of student assumptions and experiences.

Students showed variations in their learning and perspective taking shifts. This may be clearly a result of the instructor team's shortcomings (something few studies seem to consider but is not to be taken lightly) and reinforces the challenges and risks of self-analytic courses. It may also be that adaptive leadership through case-in-point teaching makes learning demands on the students for which they are not prepared. It is also possible that some of these demands have

a developmental dimension. The resulting implications, consistent with the developmental literature, are for attending to this hidden diversity in instruction and in the supports offered. More specifically, experiential courses that use group-as-a-whole, and are traditionally more prepared to examine the impact of multi-cultural and gender diversity on organizations, may need to grow in their ability to differentiate instruction along developmental lines. This could have been done better in the institute by reinforcing the diversity of ways of knowing frame throughout the institute thus cultivating a corrective to the "more complex is better" tendency. In addition, better connections to implications of adult development for teacher supervision may offer better support for students engaged in a pedagogy that places them in disequilibrium by the unspoken demands it makes. The subsequent offerings of the institute have attempted to do this in the first day but could be better integrated during the rest of the week.

Despite variations in students' view of organizations as systems, students were able to develop system level organizational hypotheses about their cases. Although the variation may be developmental in nature as the literature suggests, at least two students showed systems thinking at a self-complexity not found in other studies. Instruction of system thinking should not present these concepts so dualistically as if one is either analyzing organizations or framing problem systemically or not. The process seems much more complex and identifying levels of complexity in system thinking (as Garvey Berger suggests) may be an important step for students to develop and assess their mastery of the analytic skills needed for leadership and to not feel "in over their head" in doing so. The relationship between a particular subject or process and the underlying meaning making system may not be as simple as developmental theory and some literature suggests. Further research should continue to explore these complex links to inform instruction.

The impact of a post-racial discourse in schools on participants' reactions to race as the subject of a systemic interpretation raised many questions and has implications for principal preparation. Equipping principals to be able to discuss issues of race and to be able to identify instances of institutional racism should be a part of principal preparation. Race was a challenging topic for many students; a catalyst for some and a stumbling block for others. Programs need to explicitly address the discourse that discourages teachers from considering race as an issue apart from exceptional situations especially in organizational dynamics. Cohorts have a unique opportunity to offer distinct voices and standpoints in the relationship participants build over the program length. This opportunity does not always happen naturally and should be facilitated. This study was not intended as a research project into issues of race, racial identity, or institutional dynamics around race. Nonetheless it became an important part of many students experience and learning during the institute, programs should consider what other hot-button issues might exist that create such strong reactions and impact students' learning. While race theory is not a literature with which I am very familiar, since the management of diversity in schools and the community is a prominent part of the educational leadership standard, I would suggest research around this area of leadership education, organizational changes and perspective taking continues to be important for principal preparation.

8.4   QUESTIONS FOR FUTURE RESEARCH

A number of questions were raised throughout this study. In some ways, I think this study has given me more questions than answers. The broad questions offered here for future research revolve around the following three overlapping themes.

224

8.4.1   Adult development

The variations of students learning, grasp of adaptive leadership concepts, and experience of case-in-point teaching continue to encourage the study of how developmental meaning-making influences leadership development in general and principal preparation in particular. Research around the specific developmental demands case-in-point makes on students and that adaptive leadership is necessary for the continued development of this pedagogy to serve participants across the spectrum of meaning-making.

8.4.2   Case-in-point teaching

Tammy's case points out the need for further research on how race in particular but also other hot-button issues influence aspiring principals' learning about themselves, leadership and schools as systems. I would also recommend continued research on the impact of framing on the engagement of students with the pedagogy and the material as well as the retention and integration of learning into practice. Another area of research involves the impact of case-in-point courses on the relationships among cohorts as professional communities and their impact on hosting institutions.

8.4.3   Principal preparation

Research about the effectiveness of leadership pedagogies in preparing successful principals continues to be necessary to help shape principal preparation curriculum. Some areas to investigate include the transfer of learning into behaviors and dispositions once becoming a

principal, the building of developmental support over the length of preparation program, the changes in understanding of adaptive leadership as one's meaning-making evolves over time and practice, and the impact of prior experiences and assumptions of leadership and authority on learning and practice of aspiring principals.

8.5   CLOSING WORDS

The research on the relationship of school administrators to student learning continues to grow and sharpen the focus of the principal preparation program. This study, in many ways, confirms the acknowledged diversity of learning through experiential education found in other disciplines. It also shows that case-in-point teaching offers a way to address complex systemic issues of schools in ways that help aspiring principal expand their perspectives. It offers evidence and suggestions for the power of learning communities and the reflection on personal failures as a pedagogy. The use of adult development theory as part of the framing supported students for the experience of case-in-point teaching through giving them a language to assess themselves, their learning, and their learning goals for becoming principals. Many exciting questions were raised through this study that offer opportunities for further research and instructional effectiveness in the developing of future principals. As an instructor-researcher, I take away an increased conviction for the power of experiential education, a renewed commitment to developing effective leadership pedagogy for preparing leaders for schools, and an appreciation for the challenges I knowingly and unknowingly present students by my curricular and instructional choices.

POST INSTITUTE INTERVIEW PROTOCOL

This interview can be done face to face or over the phone.

Goal of session:

- To learn about the student's experience and learning during the leadership institute.

- To remind them "you don't have to talk about anything that you don't want to talk about."

Tools:

Audio recorder

Directions:

Thank you for agreeing to meet and talk about the class. My hope is to spend approximately an hour talking about your experience of the institute.

General questions:

- Tell me a little bit about your Leadership Institute experience—how did you think about it at the time? How has your thinking changed over the summer?

- Can you give me a story of something really wonderful that happened during the Leadership Institute?

- Can you give me an example of something you found unsettling and problematic during the Leadership Institute?

- What did you learn, if anything, about leadership in general? What did you learn about your leadership in specific?

- How did see leadership exercised during the institute by yourself, by other students, by the teaching staff?

- What connections did you make, if any, between the class and your internship this summer?

- Did you gain a greater understanding about yourself, other people, groups, and organizations? What are the details of this understanding? How do you think this understanding will affect the way you related to other individuals, groups (including family) and organizations?

Possible follow up questions -- adapted from Martynowych (2006):

- Was the leadership institute difficult or challenging? What did you appreciate about being in this class?

- Was the experience confusing or anxiety producing? Did it remain that way throughout the class?

- How did you initially experience the instructors? The other members of the class?

- Was there any event that had some significance for you? Why do you think the events affected you?

- Was there conflict in the class? If so how did you experience it?

- Were there changes in the way you perceived the instructors and other class members?

- Was there any particular experience or insight that caused this change (if it occurred)) in your perception of the instructor, other group member (s), or any other aspect of the group?

- Did you feel that by the end of the class you better understood the task of the class?

- Did you experience that the events and/or dynamics occurring in the class made more sense to you? If so, in what ways did they do so?

- Did you sense that you became more confident? Did you come to feel invested in the class? If so, to what extent did you feel invested in the group? Did you disengage or find yourself holding back much or some of the time? Do you believe you could express yourself and make suggestions about the direction of the group was going n in the group discussion? Do you think what you said was heard and valued?

Possible Summary questions-- adapted from Martynowych (2006):

- To sum up how would describe your overall experience of this group?

- Did the experience of the group meet your expectations?

- Was the experience for the most part positive or negative?

- How did what you have learn affect you?

- Did what you learn change you in any way?

- Would you consider it an important learning experience?

- Would you participate in such a group again?

- Is there anything else you would like to add before we close?

FACULTY INTERVIEW PROTOCOL

Goal of session:

- To learn about the individual's experience and observations of the cohort following the
  leadership institute.

- To remind them "you don't have to talk about anything that you don't want to talk about."

Research Questions:

- What do aspiring principals report learning about themselves and their leadership in an
  experiential leadership class?

- What is the relationship between students' learning and experience of short-term experiential
  leadership courses and their stage of epistemological development?

Directions:

Thank you for agreeing to meet and talk about the class. My hope is to spend approximately
twenty minutes or so talking about your experience of the cohort following the first leadership
institute.

- In what capacity did you interact with the LIFTS cohort?

- Tell me a little be bit about your initial experience of the cohort as a group. What stands out as particularly interesting or surprising about the students' preparation and skills? What makes these observations interesting? How did your experience of the cohort as a group change over time?

- How would characterize the interactions of the cohort members with you initially? and how did this change over time?

- How would characterize the interactions of the cohort members among themselves at the beginning of your class? And how did that change over time?

- In what ways did you observe the cohort reflect on their experience or learning from the leadership institute this summer? What stories did they tell you? What did they describe those stories to mean to them? What did you understand those stories to mean to them?

- How did you see members of the cohort exercise leadership in your class? What definitions or characteristics of leadership did they talk about or exhibit in the large group of the class or in small group assignments?

- During the institute, the students learn about authority and leadership, how would you describe the ways members of the cohort worked with your authority as the instructor in the beginning of the semester? How did this change over the semester?

- What connections, if any, did you see cohort members make between your work with them and the leadership institute (publicly in class discussion or privately in their writing)?

- What are examples something really wonderful that happened in your interactions with the cohort?

- What are examples of something you found unsettling and problematic about the cohort?

Conclusion

- Thank you....

- Is there anything I didn't ask you that I should?

- Is there anything you would like to add?

- How was this experience for you? Is there anything that would have been more helpful for your experience as a participant in this study?

SUBJECT OBJECT INTERVIEW PROTOCOL

Adapted from Lahey, L., Souvaine, E., Kegan, R., Goodman, R., & Felix, S. (1988). *A guide to the Subject Object Interview: Its administration and interpretation*. Cambridge, MA: Harvard University, Graduate School of Education, Laboratory for Human Development.

This interview can be done face to face or over the phone.

Goal of session:

-   To learn about "How you think about things or How you make sense of your own experience."

-   You don't have to talk about anything that you don't want to talk about.

Tools:

Five 5"x7" index cards or ½ sheets of paper

Directions:

Write the following word or phrase, one per card:

Success

Angry

Strong stand, conviction, Important to me

Torn

Preparation For Interview

These cards are for your use only. The interviewer will not look at them. You can do whatever you like with them after the interview. The cards are to help you jot down things we might want to talk about in the interview.

Spend 20-30 minutes (if phone interview this can be done prior to the interview call) with the cards jotting down on the cards things that you choose to talk about. We do not have to talk about anything you don't want to talk about. The goal in the interview is to deeply understand what you are talking about.

Let's take the first card – ANGRY

If you were to think back over the last several weeks, even the last couple months, and you had to think about times you felt really angry about something, or times you got really made or felt a sense of outrage or violation-are there 2 or 3 things that come to mind? Take a minute to think about it, if you like, and just jot down on the card whatever you need to remind you of what they were.

Next card – STRONG STAND, CONVICTION, IMPORTANT

If you were to think of some time when you had to take a strong stand, or felt very keenly 'this is what I think should or should not be done about this,' times when you became aware of a particular conviction you held…. What is it that is most important to you?' or 'What do you care deepest about?' or 'What matters most?'

Next card – SUCCESS

If you were to think of some times when you felt kind of triumphant, or that you had achieved something that was difficult for you, or especially satisfying that you were afraid might come out

another way, or a sense that you had overcome something…

Next card – TORN

Felt really in conflict about something, where someone or some part of you felt one way or was urging you on in one direction, and someone else or some other part was feeling another way; times when you really felt kind of torn about something…

Next card – CHANGE

As you look back on your past, if you had to think of some ways in which you think you've changed over the last few years—or, even months—if that seems right –are there some ways that come in mind?

Part II

Now we have one hour to talk about some these things you've recalled or jotted down. You can decide where we start. Is there one card you felt more strongly about than the others?

 (Now the probing-for-structure part of the interview begins…) (Subject keeps selecting cards)

What the interviewer should keep in mind:

1.   Don't worry about getting through all the cards; you never do. The idea is to let the subject introduce personally salient content, and for you to try to understand it. It doesn't matter how many cards you do. (Though it can be useful to know which cards are most salient.)

2.   The subject will give you the "what" (what is important, what felt successful); you must learn the "whys" (why is it important? Why does that constitute success?) The answer to the whys helps you to understand how the person's subject-object construction is shaping real-life, the goal of the interview.

3.   Since you are probing for structure you need to keep asking "why?" (like any structural interview) but since you are probing real-life experience, often deeply felt, care must be taken to

frame the "whys" in such a way that does not seem to suggest the person is somehow wrong to be caring so deeply (e.g., "I'm worrying that I might fail my statistics final.") The interviewer wants to know what is at stake in this possible loss (e.g. maybe if he fails his father won't buy him an Alfa Romeo; or maybe if I fail I feel I will be letting down the family, or maybe, if she fails she feels she is letting down herself—all conceivably different structures). But we don't want to ask a question like "why are you so worried about that?" because it can unintentionally suggest we have doubts about the appropriateness of worrying about such a thing. Each interviewer must find his/her own way to convey that he/she is not trying to understand why it should be that the subject has this worry but in what sense it is a worry.

4.   The interviewer must wear "two hats" in the conduct of the interview—that of empathic, receptive listener, and that of active inquirer. Ignoring the first on behalf of the second leaves most interviewees feeling grilled, and not well understood; the interview will become unpleasant at best, and unproductive at worst. Ignoring the second on behalf of the first leaves most interviews unscorable: people rarely spontaneously speak in an epistemologically unambiguous fashion.

5.   The central activity in the interviewer's own head is the forming of hypotheses during the interview itself. The more familiar a person is with the 21 epistemological distinctions the easier it is to generate hypotheses. One excellent way of becoming more familiar with these distinctions is the activity of analyzing (or "scoring") subject-object interviews.

6.   Further information, advice, and sympathy about all these activities can be found in great quantity in *The Guide to the Subject-Object Interview: Its Administration and Interpretation*.

APPENDIX D

CROSSOVER CATEGORIES

- BS vs. BA
- American
- Feminist
- 1st generation college
- Born overseas
- You or someone you love has HIV/AIDS
- Vegetarian
- Follower
- Racist
- Been fired
- Teacher leader
- Member of a religious organization

- Parents divorced
- Republican
- Lost parent to death
- You or someone you love is GLB
- Married
- Have problem with authority
- Been arrested
- Parent
- Only child
- White
- Plays a formal role in a union
- Travelled outside the country
- Love someone who didn't love you

SAMPLE NIGHTLY MEMO

Group Questionnaire (Adapted from PAL-101)

The purpose of this questionnaire is to help you analyze the work process of the consultation group sessions. Please limit your response to three pages, and be sure to include the text of the question in bold font followed by your response in regular font.

- Are there common or are there competing conceptions of purpose in the group? What effect does this have on the group's ability to proceed with its task?

- What were the initial events of the group meeting (i.e., what happened in the first few minutes)?

- What did the case presenter identify as the leadership dilemma in the case? Did your interpretation of the dilemma differ from the case presenter's? If so, what was the difference?

- What was the primary hidden issue of your consultation group session and what was the underlying problem in the case? Was there any parallel? Did the initial events in your group provide a clue?

- Identify the most productive intervention of the meeting. What made it so?

- Did the group use any work avoidance mechanisms to restore or maintain equilibrium? Did the people in the case use any work avoidance mechanisms to restore or maintain equilibrium? If so, what were they? Were there any similarities?

- How were you used by the group? Were you used well or poorly?

- How did the chairperson (designated authority) use her or his authority? How was the chairperson used by the group?

- Describe two or three moments when the group granted informal authority to some members of the group. What caused these dynamics to occur?

- Identify one moment when you thought you had something worthwhile to say and you held yourself back. What made you hold back?

- What interplay between your own personal tuning and the dynamics of the small group account for your capacity to intervene? In what ways have the large class dynamics influenced your behavior?

- Identify two key words from the group session and discuss the relevance of their Indo-European etymologies to the hidden issue(s), or to the dynamics of the group. For additional guidance on this question, please see handout.

APPENDIX F

FINAL PAPER ASSIGNMENT

Take 12-15 pages to consider the readings and the work you did during the Institute and address the following:

- How did your understanding of the leadership failure in your case change, if at all? Use the readings to offer an analysis of the adaptive challenge and mutually exclusive and alternative theories about the organization in the case. How did the case presentation or other aspects of the Institute illuminate your understanding of the case? How did the role(s) you played in the Institute inform the role(s) you played in the case? What are your options for mobilizing the system to do its work? Use concrete examples to support your analysis. Draw on the theories presented in the course/ readings to support your hypotheses and offer options for actions.

- What were your most salient learnings about leadership during the Institute? How do you see these learnings apply to your development as an aspiring principal? What have you discovered about your growing/learning edge and your immunity to change?

In addition, complete the *Immunity to Change* matrix that you began during the Institute. Using Chapter 9 from Kegan and Lahey's book as a guide, finish your four-column map that addresses the following:

- Your one big thing: commitment to improvement goal (you may need to refine this from what was discussed in class)

- Your bold fearless self-inventory: what are the concrete behaviors that you are/not doing that are working against your goal

- Your hidden commitments: Start with filling the Worry Box. For every entry in column 2, what is the most worrisome, scary feeling that comes up for you. Then for every entry in your Worry Box, identify the active commitment you pursue to keep that from happening. What do you notice about the relationship among the entries of the three columns?

- Your big assumptions: Generate all the assumptions that someone who might have your column three commitments might hold. What do you notice? Now begins the hard work of developing a plan to test those assumptions. Chapter 10 will help with that process.

If you have any questions or would like some feedback during the process of making your map, you can contact Francois for consultation or appointment.

Paper is due electronically to the instructors. Paper should be double-spaced and use APA standards for writing and references.

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